

**THE LEGISLATION AND
POLICY ENVIRONMENT FOR
ECOLOGICAL ORGANIC
AGRICULTURE IN ETHIOPIA,
KENYA, RWANDA, TANZANIA
AND UGANDA**



**A CONSOLIDATED FIVE COUNTRY
STUDY
SYNTHESIS REPORT**

2020

The report presents findings and conclusions of a study conducted in five countries, namely, Ethiopia, Kenya, Rwanda, Tanzania and Uganda. It was coordinated by Biovision Africa Trust (BvAT) in collaboration with PELUM Kenya on behalf of the Continental Steering Committee (CSC) of the Ecological Organic Agriculture Initiative, Swedish Society for Nature Conservation (SSNC) and Swiss Agency for Development and Cooperation (SDC).

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DISCLAIMER:

Information and views set out in this report are those of the author and do not necessarily reflect the official opinions of Biovision Africa Trust or the sponsors of the study.

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ACRONYMS

ACODE	Advocates Coalition for Development and Environment
ACT	Agriculture Council of Tanzania
ADB	African Development Bank
ADF	Action Development Forum
ADLI	Agricultural Development–Led Industrialization
AGP	Agricultural Growth Program
AGSWG	Agriculture Sector Working Group
ANSAF	Agriculture Non-State Actors Forum
ASDS	Agricultural Sector Development Strategy
ASDP	Agricultural Sector Development Program
ASCU	Agricultural Sector Coordination Unit
ASIP	Agriculture Sector Investment Plan
AU	African Union
BFS	Bureau of Food Security
BvAT	Biovision Africa Trust
CAADP	Comprehensive Africa Agriculture Development Programme
CCRDA	Consortium of Christian Relief and Development Association
CSOs	Civil Society Organizations
CSC	Continental Steering Committee
DAG	Development Assistance Group
DCC	District Consultative Council
DFT	District Facilitating Team
DADP	District Agricultural Development Plan
DASIP	District Agriculture Sector Investment Project
DPP	Directorate of Policy and Planning
EOA	Ecological Organic Agriculture
EOAM	East African Organic Mark
EAC	East African Community
EAOPS	East African Organic Products Standard
EPOPA	Export Promotion of Organic Products from Africa
ESQA	Ethiopian Standard and Quality Authority
ESRF	Economic and Social Research Foundation
EU	European Union
FiBL	Research Institute of Organic Agriculture
FAO	Food Agriculture Organization of the United Nations
FBO	Faith Based Organizations
GBS	General Budget Support
GoE	Government of Ethiopia
GoK	Government of Kenya
GoR	Government of Rwanda
GoT	Government of Tanzania
GoU	Government of Uganda
HPR	House of People’s Representatives

HU – CA&ES	Haramaya University College of Agriculture and Environmental Sciences
IFOAM	International Federation of Organic Agriculture Movements
IFPRI	International Food Policy Research Institute
ILRI	International Livestock Research Institute
ISD	Institute for Sustainable Development
JAS	Japan Agriculture Standards
JSRs	Joint Sector Reviews
KALRO	Kenya Agricultural & Livestock Research Organization
KENAFF	Kenya National Farmers' Federation
KIPPRA	Kenya Institute of Public Policy Research and Analysis
KII	Informant Interviews
KPL	Kilombero Plantations Limited
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MAFSC	Ministry of Agriculture Food Security and Cooperatives
MALF	Ministry of Agriculture, Livestock and Fisheries
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
ME&MR	Ministry of Environment and Mineral Resources
MFPEd	Ministry of Finance, Planning and Economic Development
MINAGRI	Ministry of Agriculture and Animal Resources
MINECOFIN	Ministry of Finance and Economic Planning
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MoFED	Ministry of Finance and Economic Development
MoLD	Ministry of Livestock Development (now under MALF)
MoTI	Ministry of Trade and Industry
MTIP	Medium Term Investment Plan
MoH	Ministry of Health
NAP	National Agriculture Policy
NAIP	National Agriculture Investment Plans
NBS	National Bureau of Statistics
NEPAD	The New Partnership for Africa's Development
NF&NP	National Food and Nutrition Policy
NNS	National Nutrition Strategy
NOAM	National Organic Agriculture Movement
NOAP	National Organic Agriculture Policy
NPCA	New Partnership for Africa's Development Agency
NSA	Non-State Actors
NSGRP	National Strategy for Growth and Reduction of Poverty
NSS	National Statistical System
NUR	National University of Rwanda
OA	Organic Agriculture
PADEP	Peasant Agricultural Development Extension Programme
PANE	Poverty Action Network of Ethiopia
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PIF	Policy and Investment Framework
PM	Prime Minister
PPD	Planning and Programming Directorate, MoA

PRSP	Poverty Reduction Strategy Paper
PSF	Private Sector Federation
PSNP	The Productive Safety Net Program
PSTA	Strategic Plan for Agricultural Transformation
RAB	Rwanda Agriculture Board
RCC	Regional Consultative Council
RDB	Rwanda Development Board
RDPS	Rural Development Policy and Strategy
RECs	Regional Economic Communities
REPOA	Research on Poverty Alleviation
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
RHODA	Rwandan Horticulture Development Authority
ROAM	Rwanda Organic Agriculture Movement
SAGCOT	Southern Agricultural Growth Corridor of Tanzania
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
SDPRP	Sustainable Development and Poverty Reduction Programme
SNNP	Southern Nations, Nationalities and Peoples
SPPC	Strategic Planning and Program Coordination
SSNC	Swedish Society for Nature Conservation
SUA	Sokoine University of Agriculture
TAHA	Tanzania Horticultural Association
TCCIA	Tanzania Chamber of Commerce, Industry and Agriculture
TAFSIP	Tanzania Agriculture and Food Security Investment Plan
TOAM	Tanzania Organic Agriculture Movement
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Program
UNCTAD	United Nations Conference on Trade and Development
USAID	United States Agency for International Development
USNOP	US National Organic Program
WB	World Bank

EXECUTIVE SUMMARY

The purpose of this study, commissioned by Biovision Africa Trust (BvAT) in collaboration with PELUM Kenya on behalf of the Continental Steering Committee (CSC) of the Ecological Organic Agriculture Initiative, Swedish Society for Nature Conservation (SSNC) and Swiss Agency for Development and Cooperation (SDC) was to document the findings and outcome of a study of the legislation and policy formulation processes in Ecological Organic Agriculture (EOA) in Eastern Africa. The report includes five country case studies from Ethiopia, Kenya, Rwanda, Tanzania, and Uganda. Based on the case studies and other experiences, recommendations are made. This exploratory assessment sought to identify some of the factors that facilitate or limit policy formulation processes in ecological organic agriculture (EOA) in the five countries to inform and identify how the EOA/OA sub- sector has been prioritized in terms of policy formulation, implementation, allocation of resources and the extent to which regional frameworks could be integrated to utilize key drivers of positive change in EOA/OA endeavors. The report recognizes that presenting an evidential synthesis pragmatically to the real world of policymaking helps to minimize cognitive biases, deal with natural tendencies to resist change, and ensure political buy-in among other goals. Further, this underscores that key stakeholders see the world from the perspective of their target groups and understand the legislation and policy processes and structures in which they engage.

Objectives: The objectives of the study highlighted two key components: (1) to assess the legislation and policy formulation/development and implementation processes and frame conditions with respect to ecological organic agriculture (EOA) and (2) make forward looking recommendations on how the current systems and structures of legislation and policy formulation, development and implementation processes can be improved to support EOA integration into national programs and plans in five countries namely, Ethiopia, Kenya, Rwanda, Tanzania and Uganda.

Methods: The approach used to collect data for this study was dual utilizing both primary (key informant interviews of selected policymakers, practitioners, technocrats and development partners of Ecological Organic Agriculture (EOA) and secondary sources (desk review). The study was conducted in two phases. The first phase took place in September and October 2018 whereby individual country visits were undertaken in Ethiopia, Kenya and Uganda. The second phase of the study that looked at Rwanda and Tanzania took place in August and September 2020 and a robust methodology and appropriate tools were adopted in consideration of the COVID-19 pandemic that limited travel and physical/face to face meetings. In depth review of at least one successful case of development and implementation of specific policy/policies in the agriculture sector during the last five or so years from each country were undertaken in accordance with the scope of the study. Three distinct classes of stakeholders were contacted: Beneficiaries/ primary stakeholders– people the ecological organic agriculture (EOA) initiative(s) aim to reach and who have been involved in EOA project activities to date; Partners (co-financiers, donors and NGOs) – those who have knowledge of EOA and/or its projects and beneficiaries but who are not directly involved in policy development/formulation; and wide-ranging group.

Policy Development & Management – those who are directly involved in developing and implementing policies and such included think tanks, government officials, legislature, managers, staff, technical advisors, and sub-contracted implementers.

The policy process assessment examined the following four elements allied to policy formulation:

- Policy Element 1: Guiding Policy Formulation Approach/Model
- Policy Element 2: Draft Policy Formulation, Coordination, and Finalization
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Policy Formulation.

Each element was assessed using a three-tier rating system that highlights the level of attention needed to improve the effectiveness of the element in a country.

The adopted tolerance ranges were:

Green: Within 70% of the target. A green rating indicates that the component is realized to a sufficient degree. *(A solid framework, addressing the policy area concerned, is in place and has been officially adopted or has prospects of being enacted in the next 1 to 2 years).*

Yellow: Within 50% of the target. A yellow rating means that the conditions required to achieve the component are partially achieved. *(A draft framework exists, with some signs of government activity to address the policy area concerned).*

Red: Less than 10% the target. A red rating means that significant attention is needed. *(No concrete framework exists so far to address the policy topic concerned).*

Challenges: The main challenge encountered second phase of the was the fact that the team was not able to visit the phase two countries (Rwanda and Tanzania) due to travel restrictions as a result of the COVID 19 outbreak, therefore heavily relying on technology, desk reviews and phone calls to collect the needed data. This severely limited the possibility of wider consultation with stakeholders in each country. Another challenge encountered included non-responses from some targeted key informants whom the NOAMs and consultant would have liked to get information from. Mitigation measures for these challenges included review of additional documentation, and in some cases making contact with additional other key informants. One member collected data from key informants from each country using a rapid assessment methodology.

Some key findings of the study include but are not limited to the following:

Finding 1: The East African countries are at very different stages in their organic policy formulation processes

While all the countries in the study have and maintain an approved national agricultural policy, only Uganda had the indicative signs that an EOA policy was near completion at the end of the phase one study period. The indicator on alignment/mainstreaming of ecological organic agriculture priorities within the work plans of line ministries showed no or very slow progress in the rest of the four countries (Ethiopia, Kenya, Rwanda and Tanzania).

Despite some political support, actual progress in setting up EOA related mechanisms and procedures in these countries during the past decade, this has been rather tentative and in particular, there has been insufficient investment in the development of EOA policies. The existing policies lack adequate instruments to achieve EOA/OA related goals. Furthermore, they are not sufficiently connected and/or are incoherent across sectors. There is a clear need for greater policy coherence to avoid the overlap of possible policy objectives.

Finding 2: The absence of permanent technical and administrative capacity for policy development is the greatest constraint to policy formulation and consequent implementation

The absence of adequate technical and administrative capacity to formulate policies posed a challenge in every country studied. The policy challenges encountered include incoherence and limited material capacity (including human resource). However, the NOAMs in the study countries are very active in developing capacity for policy development among other skills.

Finding 3: Governments, private sectors, and civil societies do not embrace considerable inclusivity, goodwill, and transparency to meaningfully engage in policy formulation and key advocacy efforts

Policymaking in the five countries is covered in esoteric executive and legislative circles that tend to promote exclusivity and leave out other key relevant non-state actors. Vertical and forward distribution of power between the different tiers of government and the decentralization of resources and competencies will be needed in order to better respond to the diverse opportunities and demands of the different countries and improve EOA policy formulation and implementation efficiency.

Finding 4: Political commitment by governments to evidence-based analysis; Country assessments show that the practice of evidence-based policy formulation remains very limited or absent in Eastern Africa

All the five countries in the study show that the practice of evidence-based policy formulation remains very limited or absent. Relatively little research and empirical data if any could be tracked down with regard to the issues at stake in this study. As policymaking is inherently a political process and many factors jostle with evidence to take center stage both at an individual and organizational levels, the use of evidence in policy-making will only become a reality in each of the five countries if it is a formalized part of the government's policy-making systems. In the realities of the political world, the value assigned to research is less than prevailing thought or opinion.

In a nutshell, essential questions such as how policy is generated within the political system, how organizations and processes handle demands generated in the institutional environment, and how different actors behave in the policy formulation processes, remain mostly unanswered, and thus encapsulated in a "black box."

In other words, this means that there is a great need to explore the following nine key characteristics more keenly especially when formulating EOA related policies namely:

- 1) Consider forward looking perspective: take a long-term view of the likely impact of policy.
- 2) Adopt outward looking orientation: take account of influencing factors and learnings from elsewhere.
- 3) Be innovative and creative: questions the status quo and be open to new ideas.
- 4) Embrace evidence-based policymaking: use the best available evidence for impact on the larger publics from a wide range of sources.
- 5) Be inclusive: be fair and take into account the interests of all.
- 6) Encourage joined up efforts: work across institutional boundaries in implementation.
- 7) Institutionalize period reviews: keep policy under continuous and regular review.
- 8) Evaluate progress and impact: build evaluation into the policy process.
- 9) Build and draw on learnt lessons: learn from experience of what works and what does not as additional entry points to dialogue with respective key stakeholders including governments in pursuing successful EOA policy legislation and formulation.

I. INTRODUCTION

I.1 Background

The Ecological Organic Agriculture (EOA) Initiative is an African Union-led continental undertaking started in 2011 and currently implemented in nine countries (Benin, Ethiopia, Kenya, Mali, Nigeria, Senegal, Tanzania, Uganda and Rwanda). It is implemented under the guidance and oversight of the AU-chaired Continental Steering Committee (CSC) to establish an African organic farming platform based on available best practices, and to develop sustainable organic farming systems and improve seed quality. Its mission is to promote ecologically sound strategies and practices among diverse stakeholders involved in production, processing, marketing, and policymaking to safeguard the environment, improve livelihoods, alleviate poverty, and guarantee food security among farmers in Africa.

The goal of the EOA Initiative is to contribute to mainstreaming of Ecological Organic Agriculture into national agricultural production systems by 2025 in order to improve agricultural productivity, food security, access to markets, and sustainable development in Africa. In addition, these efforts are intended to reduce the exploitation of organic farmers in Africa. They recognize that since the early 1990s, Africa has delivered certified organic products, mostly grown by smallholder organic farmers, to the international organic market with increasing volumes, diversity of products and value. The initiative embraces holistic production systems that sustain the health of soils, ecosystems, and people, and relies on ecological processes, biodiversity, and cycles adapted to local conditions rather than reliance on the use of external inputs with adverse effects on total health (human, animal, plant, and environmental).

The EOA initiative was started in response to the African Union Heads of State and Government's call for the promotion of organic farming in Africa. The African Union Commission (AUC), in collaboration with several civil society organizations, held an inception workshop in May 2011 in Thika (Kenya) with financial support from the Swedish Society for Nature Conservation (SSNC) to discuss how to operationalize the political opportunity. The workshop successfully resulted in a roadmap, concept note, and an African Organic Action Plan to mainstream ecological organic agriculture into national agricultural production systems.

The action plan was supported by the SSNC in a pilot undertaken in 2012 in six countries (Ethiopia, Kenya, Tanzania, and Uganda in Eastern Africa; Zambia in Southern Africa; and Nigeria in Western Africa) while the Swiss Agency for Development and Cooperation (SDC) supported baseline studies for the action in Benin, Mali, and Senegal in the third quarter of 2013.

Further discussions led to the development of an 8-country project proposal supported by the SDC for the first phase (2014-2018) while the SSNC (with funding from the Swedish International Development Cooperation (SIDA) supported the EOA Initiative in some Eastern African countries through civil society organizations from 2013 to date. In 2019, Rwanda was added to the initial eight countries in the SDC funded Phase II bringing the total number to nine. The African Union also supports the EOA Initiative through funds provided by the European Union and other sources.

1.2 Context of the Study

The study was part of The Global Advocacy Project (GAP) of the EOA Initiative supported by the SSNC and SDC. The overall aim of the GAP project is to support increased food security, resilient production systems, and better incomes for small- and medium- scale farmers in Africa while at the same time safeguarding the environment for the future. The specific goal for the GAP project is to create awareness and better understanding among policymakers, practitioners, technocrats and development partners of Ecological Organic Agriculture (EOA) and stimulate discussion and debate among them about EOA and its benefits to human, animal, plant and environmental health.

i) Study Objective

The primary objective of the study was to assess the legislation and policy formulation development processes and enabling frame conditions with respect to ecological organic agriculture and make forward-looking recommendations on how the current systems and structures of legislation and policy formulation, development and implementation processes can be improved for supporting EOA integration into national programs and plans in the five Eastern Africa countries. Against this background, the study set out to:

- Investigate how agricultural policies are formulated, developed and delivered in general and with particular focus on the ecological organic agriculture (EOA) in order to stimulate discussion among policymakers, practitioners and development partners on policy interventions (content) and implementation and determine their merit, worth, or value in terms of improving the social and economic conditions of different stakeholders.
- Analyze the limitations (gaps, incoherence, constraints, and weaknesses) in the existing legislation and policy formulation processes in agriculture in general and ecological organic agriculture in particular in the selected countries.
- On the basis of the above make recommendations on how the current systems and structures of legislation and policy formulation, development and implementation processes can be improved for supporting EOA integration into national programs and plans.

ii) Scope of the Assessment

- a) Assess the status of ecological organic agriculture legislation and policies in different countries in Eastern Africa with priority to – Ethiopia, Kenya, Rwanda, Tanzania and Uganda and at AU level to provide an overview of how far the selected countries have progressed with different policy papers and agricultural plans.

- b) Document at least 1 case of the successful development and implementation of specific policy/policies in the agriculture sector during the last five or so years.
- c) Describe the policy considerations and underlying logic (whether evidence-based), lifecycles, and models upon which legislation and policies focused on agriculture are formulated, developed, and implemented in the selected countries.
- d) Which actors (stakeholders/working groups/committees/task forces etc.) are involved in the policy formulation process, how, and at what stage? Who controls the processes? How are the actors selected?
- e) Identify constraints, weaknesses and gaps in the existing legislation and policy formulation processes and structures of decision-making given how far the selected countries have progressed with different policy papers and agricultural plans.
- f) Identify strengths, enabling conditions and opportunities for developing and implementing policies in ecological organic agriculture in the selected countries.
- g) Based on the findings from the above, proffer recommendations of what to focus on in legislation and policy formulation, development and delivery processes, and programs in ecological organic agriculture at national and AU levels.

The structure of the report

The rest of the report is structured as follows; Chapter 2 (Literature review), Chapter 3 (Case Study Summary), Chapter 4 (Methodology), Chapter 5 (Findings/Results), and Chapter 6 (Conclusions and Recommendations). Several boxes, tables and schematic diagrams are inserted in the document to illustrate or deepen the text with examples and more detailed information. A few individual quotes from key informants involved in the study have been included to give a flavor of their firsthand personal opinions. Appendices that are significant to the study are included at the end of the report.

2. LITERATURE REVIEW

The following literature review outlines selected phenomena that are associated with the study. Specifically, the definition of EOA/OA, a synopsis of who the actors are that generally get involved in policy formulation processes, how the EOA/OA policy making process is shaped by contextual factors both external and internal, a glimpse of EOA/OA and Pan-African frameworks at the Continental level, the environment for EOA/OA policy formulation in Eastern Africa and gender as a cross cutting issue is herein provided. In general terms, a policy is a statement of guiding principles and goals in addressing a certain issue. In the public arena, the policy processes are often complex as these evolve over time and go through a repetition of stages as changes often occur in the context of the policy issue.

2.1 Definition of Ecological Organic Agriculture/Organic Agriculture

Even though organic farming as a concept has existed for over 80 years, only since the mid-1980s has it become the focus of significant attention from policymakers, consumers, environmentalists, and farmers around the world (OECD, 2016). This turning point coincided with the increasing concerns about the negative environmental and other impacts of post-war agricultural development and the introduction of policies to support agri-environmental initiatives, including organic farming (Lampkin, 2009). According to FAO, there is no uniform universal definition; Ecological Organic Agriculture (EOA), sometimes referred to as agroecology or organic agriculture (OA) among other terminologies, is a holistic system that considers the agro-ecosystem in all its diversity. It generally means a sustainable and environmentally friendly production method, and it has particular advantages for small-scale farmers in Africa. Practical experiences as well as a number of reports demonstrate the appropriateness of EOA/OA for small farmers in developing countries. The *World of Organic Agriculture - Statistics & Emerging Trends 2020* book, by the Research Institute of Organic Agriculture (FiBL and IFOAM) states that it is important to specify that agroecology and organic agriculture do not constitute the same approach. Whereas organic agriculture has often focused on cropping practices and input regulation, agroecology seeks to integrate diverse system components and practices, local-knowledge, and socio-economic principles into the design of sustainable food and agricultural systems (FAO, 2017). In short, organic agriculture can be conceived under the umbrella of Agroecology since both approaches are striving to transform food systems in a particular ecological and cultural context.

The UNEP-UNCTAD 2008 report says that 'organic agriculture' is a good option for food security in Africa. Its further states that is an inherently sustainable system as it seeks to best use environmental goods and services without harming the environment. It is seen not only as modification of existing conventional practices, but essentially as a restructuring of whole farming systems.

Since the early 1990s the term 'organic agriculture' has become legally defined in a number of countries. It has its roots in the variously named biodynamic, regenerative agriculture, nature farming, and permaculture movements in different regions of the world (UNDP, 1992).

Clearly, there are many definitions for ecological organic agriculture in numerous reports. It is largely a matter of semantics in the five countries in this study and around the world. Some synonyms encountered during the study included organic agriculture, organic farming, ecological agriculture, agroecology, permaculture, and traditional agriculture. However, the definitions agree that it implies the application of agronomic, biological, and mechanical methods of production in place of the use of synthetic chemical inputs. All converge to state that it is a system that relies on ecosystem management rather than external agricultural inputs (UNEP-UNCTAD, 2008). It is a system that considers potential environmental and social impacts by eliminating the use of synthetic inputs, such as synthetic fertilizers and pesticides, veterinary drugs, genetically modified seeds and breeds, preservatives, additives and irradiation. These are replaced with site-specific management practices that maintain and increase long-term soil fertility and prevent pests and diseases. re feed a growing world population with food produced in organic farming systems (UNCTAD-FAO-IFOAM, 2008).

After almost three years of work by a designated task force, a definition reflecting the four Principles of Organic Agriculture¹ was adopted in Vignola, Italy as follows:

"Organic Agriculture is a production system that sustains the health of soils, ecosystems and people. It relies on ecological processes, biodiversity and cycles adapted to local conditions, rather than the use of inputs with adverse effects. Organic Agriculture combines tradition, innovation and science to benefit the shared environment and promote fair relationships and a good quality of life for all involved."

As defined in the Codex Alimentarius, organic agriculture is "[...]a holistic production management system which promotes and enhances agro-ecosystem health, including biodiversity, biological cycles, and soil biological activity. It emphasizes the use of management practices in preference to the use of off-farm inputs, taking into account that regional conditions require locally adapted systems. In terms of organic production, the Guideline 32-1999 informs the production, processing, labelling and marketing of organically produced foods."(FAO/WHO Codex Alimentarius Commission, 2007).

The terms ecological organic agriculture and organic agriculture (EOA/OA) have been adopted concurrently throughout the report in an attempt to accurately reflect the voices of many authors, study respondents and to also illustrate the need for perhaps selecting one term that all stakeholders can adapt in common usage. Also, the Codex Alimentarius since it is a collection of internationally recognized standards, codes of practice, guidelines and other recommendations relating to foods, food production and food safety was embraced.

¹ The four principles of organic farming — health, balance, fairness, balance and care

2.2 General Policy Formulation Processes: Theories and Concept

According to Hill (1993), policy can be defined as the product of political influence, determining and setting limitation what the state needs. Since this study was based on an investigation of the EOA/OA policy formulation process, it is necessary as an initiation point to define the specific parameters of this construct. From a contemporary standpoint, the policy formulation process as a component of governance has been defined as 'the study of change and development of policy and the related actors, events, and contexts' (Weible et al., 2012: 3).

In general use, the phrase 'policy formulation process' refers to policymaking procedures and associated processes. Policies, for purposes of this study, are understood from the stance of the legislation and formulation ground as the actions of actors and intentions that determine those actions (Cochran, Mayer, Carr & Cayer, 1999).

When analyzing the question of policy formulation (or lack thereof), one can draw on the literature on path dependence (Pierson 2000). This model argues that it is generally difficult to formulate, implement or change policies because institutions are sticky, and actors protect the existing model (even if it is suboptimal). Path dependence means that 'once a region, country, institution or individual has started down a track, the costs of reversal are often high' (Levi 1997: 27).

Policy Processes Theories

Whereas policy formulation processes and analysis are established area of inquiry, a growing consensus among experts is that policy processes are not based on linear models of decision making but are a complex web of interrelated systems, actors, and processes. A particular policy reform is likely to have winners and losers. Balancing attention to the favored and less favored subsectors, regions, or households is one of the toughest policy dilemmas, especially for poor resource countries. As summarized by Sabatier (2007), several theories related to policy formulation processes have been unearthed in literature. Four of the most commonly mentioned are (1) institutional analysis and development, which is centered on the incentives and motivations for the selection of particular sources of action and on how institutional rules alter these motivations and the behavior of rational individuals; (2) multiple-streams framework, which is based upon the "garbage can" model of organizational behavior and distinguishes three streams of actors and processes: problem identification stream, policy solution stream, and politics stream consisting of voting and elected officials; (3) advocacy coalition framework (ACF), which focuses on the interaction of advocacy coalitions, each consisting of actors from a variety of organizations who share a set of policy beliefs within a policy subsystem; and (4) policy or social networks, which are characterized by the predominance of informal, decentralized, and horizontal patterns of social relations between interdependent actors that take shape around policy problems and the policy programs.

The Concept of Policy Formulation

National policy formulation is a political and economic process. In a democratic system of government, people's representatives play a dominant role in the policy decision making. Sometimes, a policy proposal is implemented by the government through executive order. Occasionally it is debated in the parliament (in case of national policy) or legislative assembly (in case of county policy), and after the debate and discussion, it is approved, modified, or referred back to the department/ministry concerned for further revision. Once the policy proposal is approved by the parliament or legislative assembly, it is implemented by the government and to achieve the intended policy goals, time-bound plans and programs are prepared and implemented. Whether policy is implemented through executive order or through legislative approval, the most important thing is how the policy proposal is prepared.

The types of institutions that cohere around a particular policy issue would vary widely across geographic and socio-economic contexts, and would include government, private organizations, civil society or non-governmental organizations (also referred to as community-based organizations), foreign agencies, and academic institutions (Sutton, 1991; Keeley & Scoones, 2003). Government agencies would include those operating on all scales, from the local to the national level. The roles and responsibilities of each agency would differ based on the policy exercise and the reach of the document in question; furthermore, the administrative framework of the country would dictate the sharing of power and decision-making authority across the range of agencies (Keeley & Scoones, 2003).

Good policies are critical to progress in the economic and social spheres. Policy formulation is a central function of government and the quality of the policies therefore depends on the capacity of government to manage policymaking processes (Kibaara et al. 2009). As a result, it has been difficult to know how to enhance it. At the outset, it should be emphasized that weaknesses in the policy formulation process are neither exclusive to Africa nor to the larger developing world (Angelucci et al. 2013). They can be found, to a greater or lesser extent, in all administrations around the globe. The legislation and formulation of public policies are induced by certain environmental factors. Thus, the government is not the only factor defining the processes of public policies but other pertinent factors.

Cochran and Malone (1999) explain that policy formulation takes up the "what" questions: what is the plan for dealing with the problem? What are the goals and priorities, what options are available to achieve those goals? What are the costs and benefits of each option?

What are the externalities, positive or negative, associated with each alternative? Bucardo and Maharjan (2004) indicate that each policy stage presents a series of opportunities and challenges for participation for both the public officials and external groups. Designing policy theories is a complex endeavor. One of the pioneers in this field has described policy studies as being more art and craft than 'science', one reason being that policy research is "interaction-oriented" (Scharpf,

1997, p.11). Fritz Scharpf's (1997) Actor Centered Institutionalism (ACI) is meant to be widely applicable in problem-oriented policy research and concerned with both the substance and the scope of policy changes. Scharpf claims that public policy tends "to result from strategic interaction among several or many policy actors [...]" (1997, p.11).

ACI provides a toolbox to study these interactions. It encompasses purposeful actors, their interaction orientations, the actor constellations, and their interaction modes. Actors are crucial to the evolution of policies, and institutional settings that shape the actors' behavior and interactions. Institutions are defined as "systems of rules that structure the courses of actions a set of actors may choose" (p.38). Developing public policies is therefore complicated: they are often the result of complex interactions between various actors, with different perceptions, values and resources, and varying levels of participation and influence, in a challenging administrative and legislative setting.

Moreover, policymaking is never determined by once-off decisions, rather it is a process that extends over a period of time with many decisions passing through a political process in which there is conflict, bargaining, and negotiation among actors (Teisman, 2000). Recognizing how policy actors navigate through this complex process helps to foster an understanding of how policies are made, and how challenges are identified in the process of policymaking.

Given the practical implications of the subject matter, the policy formulation process as discussed in the upcoming sections has been treated primarily from the perspective of the implications for EOA/OA while integrating the concurrent relationships into the historical, political, and socioeconomic contexts that interact with the policy formulation process as illustrated in Figure 1.

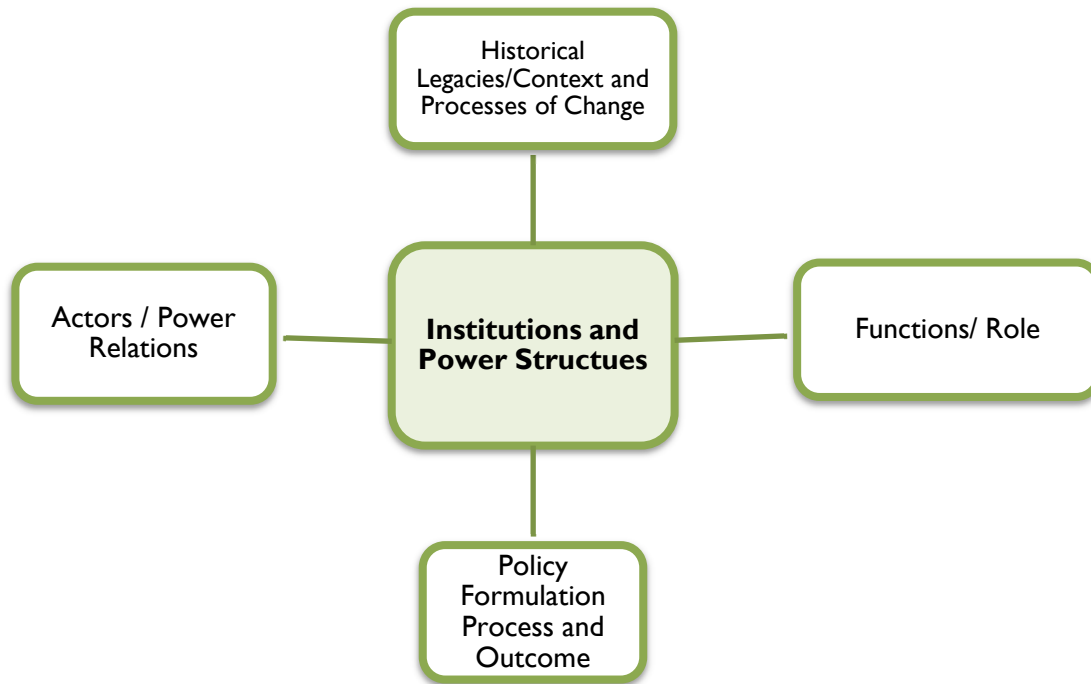


Figure 1: Schematic Linkages in Policy Making. Source: Author

2.3 The Environment for EOA/OA Policy Formulation in Eastern Africa

Agriculture accounts for at least 25% of national GDP in 19 of 55 African countries (~35% of Africa), the largest proportion of any continent. It is also a sector under pressure from degradation of natural resources, long-term underinvestment, and high levels of expectation. Global interest in agriculture including EOA/OA has led governments, international agencies, and bilateral donors to reassess the aims and instruments for agricultural development and associated fields of rural development, food and nutrition security, rural poverty, and the management of renewable natural resources. Most of the leading regional, national, and development agencies have made some statements on agricultural policy since 2008 (FAO, 2011b).

EOA/OA is currently the fastest growing food sector around the globe (Bhavsar, 2017). Although rapid growth has been observed in absolute terms, the ecological organic agriculture sector in Eastern Africa is still quite small (FAO, 2017). The spread of ecological organic agriculture methods globally has brought about some debate, including discussions on whether large-scale adoption of the methods would increase or decrease global food security. As global populations increase, land holdings decrease, thus many smallholder farmers have resorted to more frequent cropping, preventing traditional long fallow periods and other ways of harnessing ecological processes to restore soil nutrients lost with repeated harvests (Farrelly, 2016).

Agriculture in Eastern Africa exhibits a complete spectrum of approaches from collection of wild products through small traditional farms to commercial estates, from labor-intensive to highly automated systems, and from locally organized farm cooperatives to foreign-owned plantations (Bennett & Franzel, 2013). Many, if not all, use some techniques considered to be aspects of organic management systems. Some studies indicate that few farmers in Africa were found to practice a complete organic agriculture system as referred to above and defined by most organic standards. Many, however, practice component techniques such as contour planting, crop rotations, composting etc. combined with small amounts of fertilizer and pesticides.

Numerous adaptations of the guidelines have taken place, but the common understanding is that: “It is an agricultural production system that seeks to promote and enhance an ecosystem's health while minimizing adverse effects on natural resources” (UNCTAD, 2008). Some writers on the subject argue that organic farming is the agricultural expression of what was finally recognized in Rio and predated it by about 50-60 years. Today, organic agriculture is still widely considered a niche market to be exploited rather than an agricultural system with wider benefits. Public support for organic agriculture can be validated in numerous ways (Holmen, 2005). Ultimately, it reflects a political choice that is influenced by many factors such as the overall political and economic situation of a country, the balance of political forces at a given moment, broader societal choices, and perceptions regarding food production, and the relative power of influence of civil society movements and professional lobbies (IFOAM, 2017).

The East African Community (EAC) Vision 2050 does not unequivocally promote organic farming; however it does mention livestock keeping and how fuel and manure production support organic farming and increase crop yield and soil conservation. In addition, Vision 2050 sets out Green Growth/Green Economy as a priority in the context of achieving the 2030 Agenda for Sustainable Development (Regional Vision for Socio-Economic Development and Transformation 2050, 2015, pp.86). However, there is no mention of organic agriculture as a method of achieving green growth in the region.

2.4 Ecological Organic Agriculture/Organic Agriculture and Pan-African Frameworks at the Continental Level

Ecological organic agriculture in Africa is gaining momentum. There is a growing recognition among policy makers that organic agriculture has a significant role to play in attaining Africa's food security (Agama, 2015). To address the food- and agriculture-related challenges in the continent, the AU signed and endorsed various declarations and protocols. For example, the Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods (2014) recommitted member states to ending hunger in Africa by 2025 and enhancing resilience of livelihoods and production systems to climate variability.

Africa's agricultural and food security initiatives through the 2003 Comprehensive African Agricultural Development Programme (CAADP) seeks to achieve the goals of Agenda 2063 and contribute to the achievement of the Sustainable Development Goals (SDGs). The role of the state in driving agricultural transformation is widely acknowledged across the world. In Africa, this was best illustrated when leaders and governments committed themselves in 2003 in Maputo to drive agricultural transformation through the Comprehensive Africa Agriculture Development Programme (CAADP). This commitment was renewed in 2014 in Malabo, Equatorial Guinea. Countries have gone a step closer and domesticated this continental framework through national agriculture plans and strategies. These frameworks have clarified what needs to be done across the continent and in individual countries to ensure agricultural transformation. However, except for a handful of countries, progress has generally been slow mainly because many countries, despite the willingness to do what is right, grapple with capacity challenges that hinder their ability to design and implement a transformative policy formulation and implementation agenda.

Undeniably, Pan-African member states have taken notable steps to develop declarations, protocols, treaties, and guidelines to address identified food insecurity challenges and support other member states' efforts to translate their global obligations into national policies and laws. However, spindly political will to support ecological organic agriculture/organic agriculture and generally non-conclusive policies have had a negative impact on productivity growth for this agriculture sub-sector (Walaga, 2014).

In 2010, the African Heads of States and Government made a landmark decision, EX.CL. Dec 621 (XVII) on organic farming. This decision requested that the African Union Commission and its New Partnership for Africa's Development (NEPAD) Planning and Coordinating Agency (NPCA) initiate and provide guidance for an African Union-led coalition of international partners on the establishment of an African organic farming platform and to provide guidance in support of the development of sustainable organic farming systems and improvement of seed quality.

The New Partnership for Africa's Development (NEPAD) Planning and Coordinating Agency (NPCA) is the facilitating unit, ensuring that countries write up investment plans that are consistent with the CAADP objectives. In addition, the Regional Economic Communities (RECs), such as the Southern African Development Community (SADC) and the Common Market for Eastern and Southern Africa (COMESA), play a role to push for the implementation of CAADP in the countries themselves, while coordinating region wide investments through the regional CAADP compacts. The Regional Strategic Analysis and Knowledge Support System (ReSAKSS) is responsible for monitoring national and regional progress through the provision and analysis of key data, supported by the International Food Policy Research Institute (IFPRI).

Pan-African ambitions with respect to gender issues have made few strides since the signing of the Maputo Declaration. This is in spite of the fact that gender relations are a fundamental component in the organization of farm work, as well as in decision-making pertaining to management of land, labor, seeds, and machinery around the world.

Still, it is heartening to note that an early focus on smallholders in Ethiopia, Kenya, Rwanda, Tanzania and Uganda especially, has been followed by recognition of the importance of the role of women and youth in achieving the sustainable development goals (SDGs). These developments have yielded positive results to the extent that more than 1 million hectares of land in Africa comprise certified organic agriculture (Willer, 2018). Despite the 'absence' of most African governments' and AU's support in the initial phases of EOA on the continent, one can applaud the fact that the lever on high-level support is gradually turning.

2.5 Cross-cutting issues – why a gender perspective in EOA/OA is needed

A key cross-cutting issue that needs to be integrated into every EOA/OA approach, particularly when addressing policy formulation (and implementation) issues through a multi-sectoral lens, is the status of women. Interest in gender and agricultural development is longstanding, dating back to at least as far as 1970 when Esther Boserup published '*Woman's Role in Economic Development*'. Subsequently interest has grown, marked by a series of UN World Conferences on Women, starting in Mexico in 1975. Their role and the policy questions it raises have thus become increasingly important since women's wellbeing, earning potential, empowerment, and education are key driving factors in reducing hunger, poverty, and malnutrition (Smith and Haddad 2002). Gender relationships are a fundamental component in the way policies are articulated. The potential of sustainable approaches to farming to reshape our food systems, and the way humans interact with those systems, will not be realized unless there is a concerted effort to work towards gender equality (IFAD, 2008).

Because the gender gap in ecological organic agriculture/organic agriculture policy formulation operates within the broader context of the bigger gender gap in society, it is important that policy makers, donors, and development partners carefully consider their understanding of which key problems women face, why particular policies would work, and what operational challenges they may face when trying to actually implement policies (Farnworth and Hutchings, 2009). As the gender inequity is deeply cultural and societal, it is imperative that policy makers use a combination of economic and behavioral shifts to narrow the gender gap in policy formulation and in ecological organic agriculture. Achieving inclusive policy outcomes strongly depends on whether policies reflect and integrate perspectives of diverse stakeholders, including both men and women (Smith and Haddad, 2002).

2.6 Key Actors in Legislation and Policy Formulation Processes

Some of the intricacies involved in policy formulation processes include crucial actors that play key roles in the policymaking process. Sabatier and Weible (2007) categorized the crucial actors in the policymaking process into two, namely: official and unofficial policymakers. The two categories of participants are involved in one way or the other in the policy process, and they are crucial and influential in the sub-processes of policy initiation, choices, formulation, implementation and evaluation.

The level and involvement of the actors in the policy process vary according to the policy process phases, agricultural sectoral mandate, auxiliary or complementary roles, and function of the actor in question. For simplicity purposes and due to the similarity of the actors in the various phases of the policy process, the study identified the actors according to the policy process, as follows:

Official Policymakers

According to Weible et al. (2012) the official policymakers are those who possess legal authority to engage in the formulation of public policy. Those involved in this category are the legislators, the executive, the administrators, and the judiciary. Each of them performs policymaking responsibilities in a different way from the others. They are governmental actors who occupy formal public positions and political offices and serve as the actual policy makers. Official policymakers are in turn categorized into: (i) primary policymakers, and (ii) supplementary policymakers.

Unofficial Policymakers

Unofficial policymakers do not occupy formal public positions or political offices. They are not in government themselves, but they derive their relevance and policymaking roles from government and the official policymakers. Mainly, they harness their interests and demands, harmonize them, and influence official policymakers to factor them into the policymaking process (Shaxton,2005) . The main actors in the agriculture-related policy formulation process in most countries can be identified as the Ministry of Agriculture, Animal Industry and Fisheries, especially the Agriculture secretariats and the Agriculture Sector Working Groups; parliamentary subcommittees; development partners (bilateral, multilateral, and projects); the private sector; farmers (commercial, medium, and small scale); farmers' organizations; local governments (districts and sub-counties); civil society organizations (CSOs); nongovernmental organizations (NGOs); and other affiliated ministries, such as the Ministry of Finance Planning and Economic Development.

In the EOA/OA sub-sector and in other subsequent agriculture-related policy formulation settings, the Ministry of Agriculture is the most powerful actor for all agricultural-related policies (Obi, 2016). In most of the countries, at least one general farming organization holds a fair amount of power in the agricultural policymaking process whereas organic farming organizations play a marginal role. The right policies have the power to optimize public welfare by incentivizing farmers to produce positive externalities of high societal value (IFOAM, 2017).

While some actors argue that agricultural development requires strong government support, others criticize government-focused instruments and favor market-oriented strategies. Examples of such unresolved debates regarding the role of the government versus the private sector include controversies about issues like input subsidies, import taxes, price stabilization etc. (Rundgren, 2008). Summing up, many stakeholders and bystanders continue to ask: "How can people with seemingly the same end in mind disagree so much about means, and also how can the seemingly same objective reality be interpreted so differently?" For strategic decision making, an ongoing analysis about the EOA/OA policy formulation mechanisms is vital.

3. CASE STUDY SUMMARY

Case study reviews of at least one case on successful development and implementation of specific policy/policies in the agriculture sector during the last five or so years from each country were undertaken. The information was deduced from perusing relevant documents detailing general agriculture and organic agriculture policies, country specific agriculture sector plans, reports, publications, policy authors etc. that describe the policy formulation processes and structures in the selected countries. In order to understand some of the existing bottlenecks to EOA/OA in Eastern Africa, one has to understand the background of agricultural policy making processes in the region. The task has resulted in the discovery of several issues related to legislation and policy formulation processes. Several key drivers that influence or help shape agricultural policies in Ethiopia, Kenya, Rwanda, Tanzania and Uganda are presented in more detail as Appendix 3.

3.1 Agriculture Policy Formulation Process in Ethiopia, Kenya, Rwanda, Tanzania and Uganda

Ethiopia

In regard to the Ethiopian agriculture policy formulation process, it was noted that the Ethiopian Ministry of Finance and Economic Development (MoFED) has a role in initiating country-level strategies, while the Ethiopian Ministry of Agriculture (MoA) plays a role in initiating sector-specific policies such as land policy, seed policy, and others. The Central Statistics Agency (CSA) is the major and the official source of data and information. Research centers and universities, on the other hand, are significant sources of rigorous research and policy analysis reports. The Parliament and the Prime Minister's Office mainly ratify and follow implementation of policies, while donors play a key role by providing technical expert advice and funds.

According to some government officials and policy documents, such as Plan for Accelerated and Sustained Development to End Poverty (PASDEP) and Growth and Transformation Plan (GTP), the policy formulation process in Ethiopia follows a systematic and consultative process. However, key informants, mainly from non-government institutions and practitioners, indicated that the policy process in Ethiopia is less systematic, lacks wider consultations, and is often a top-down exercise. With regard to demand and supply of evidence-based information and/or policy analysis results, crucial information and research is not well organized and structured, and demand for policy analysis results is not explicit enough to encourage research centers and universities to engage in policy formulation and analysis hence share findings with major stakeholders.

Kenya

In the case of the Kenyan agriculture policy formulation process, it was noted that the policy process is meant to be participatory, involving the public from problem identification through implementation, monitoring and evaluation (M&E).

There are various policies, acts, and session papers that guide food production in Kenya. Since 2003, there has been much activity in an attempt to revitalize Kenyan agriculture. There are a number of actors in decision making affecting agricultural policy. Their roles are related to their control of development resources. 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. The ministry sometimes involves consultants from the private sector 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 formulating 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 to the implementation stage.

Rwanda

In Rwanda, policy formulation and implementation in the agriculture sector is led by the Ministry of Agriculture and Animal Resources (MINAGRI) and follows strategic and investment plans elaborated by Vision 2020, Economic Development and Poverty Reduction Strategy (EDPRS) and sector strategic plan. The Ministry has been designing and implementing different policies aimed at increasing animal production and diversifying both subsistence and commercial agricultural production. Different support line organizations are in place in addition to a number of development partners. MINAGRI has two implementing agencies namely the Rwanda Agriculture Board (RAB) and National Agricultural Export Board (NAEB) that also participate in policy design and complementary investment plans in the agriculture sector given that additional expertise is found in these line institutions. Overall monitoring and evaluation remain the responsibility of MINAGRI in its Directorate General in charge of strategic planning and program coordination and follows a systematic and consultative process.

Four directorate generals form the structural administration of agricultural related activities: inspection and certification services, strategic planning and programs coordination, crop production, and animal resources. The first directorate deals with all aspects related to the enforcement of the Rwandan plant health law and regulations for sanitary measures necessary for trade, plant pest/disease monitoring, surveillance and diagnosis, conducting pest risk analysis, and inspection and certification. The same directorate also provides animal products certification. Furthermore, the directorate contributes to the preparation and implementation of agrochemical laws.

The Directorate of Strategic Planning and Programs Coordination main function is to coordinate the formulation of policies and sector strategies and to monitor and evaluate the implementation of agricultural sector programs. All research needs, including those intended to evaluate or inform the policy, under this Ministry are channeled through this directorate. This directorate is strategic for MINAGRI and operates in close collaboration with the Ministry of Finance and Economic Planning (MINECOFIN), development partners, local government, the Rwanda Agricultural Board, the Rwanda National Export Board, MINAGRI projects and task forces, and other potential stakeholders involved in agricultural development. With regard to the directorate of crop production, its aim is to monitor and evaluate the implementation process of different programs related to crop production.

The fourth one which is the directorate of animal resources monitors and evaluates all interventions relative to animal production. Like other directorates, this directorate also participates in the policy design and strategies of the sub-sector in collaboration with the Directorate General of Strategic Planning and Program Coordination (SPPC). The available documents and articles by the Government of Rwanda (GoR) strongly prioritize agriculture as a key area of importance and investment for its Vision 2020. The Government of Rwanda (GoR) developed its second Agricultural Sector Investment Plan (ASIP-2; 2013 through 2018) along with the second Economic Development and Poverty Reduction Strategy (EDPRS-2), both of which clearly identify agriculture as one of the six pillars of Vision 2020 with a goal of developing ‘productive high-value and market-oriented’ agriculture by 2020.

Tanzania

In Tanzania, the Ministry of Agriculture, Food Security and Cooperatives is the lead agency in agriculture policy formulation. Over the last three decades, the Government of Tanzania (GoT), with assistance and support from its major development partners, has undertaken economic and structural adjustments in an attempt to transform the economy. Spurred by the economic depression of the 1980’s, and faced by an increasingly competitive global economy, Government in 1995 formulated a new national vision, Tanzania Development Vision 2025.

Over the course of the succeeding years, the government has shown some commitment to:

1. High Quality Livelihood
2. Peace, Stability and Unity
3. Good Governance
4. Well-Educated and Learning Society, and
5. Strong and Competitive Economy.

Certified organic agriculture emerged in Tanzania in the early 1990s. In 2003 the first local certification body, the Tanzanian Certification Association (TanCert) was established with support from the Swedish International Development Cooperation Agency (SIDA)-funded Export Promotion of Organic Products from Africa (EPOPA) programme and a number of civil society organizations. TanCert formulated and now applies two standards for the national market and the export market using a pool of 34 local inspectors. In 2005, a national network, the Tanzania Organic Agriculture Movement (TOAM) was formed with the mission to develop a sustainable organic sector through promotion, coordination, research and education.

In the case of the Tanzanian agriculture policy formulation process, it was noted that the policy process is meant to be participatory, involving the public from problem identification through implementation, monitoring and evaluation (M&E).

Uganda

In Uganda, the lead agency that is charged with formulating agriculture related policies is the Ministry of Agriculture, Animal Industry and Fisheries. With regard to the Ugandan agriculture policy formulation process, it was reported that the policy process is usually participatory and inclusive, involving consultation with key stakeholders in the agricultural sector, including the private sector, national and local government officials, development partners, and civil society representatives. The Uganda Government policy development process is comprised of five phases that include: policy initiation, policy analysis, decision making, implementation, and monitoring and evaluation. Policy initiation involves accurate identification and understanding what the social, economic, or political issue is. The process of policy identification helps stakeholders to distinguish symptoms from the problem. In all cases, it involves defining the problem and the evaluation criteria; identifying all alternatives; evaluating them; and recommending the best policy agenda for adoption. Decision-making is made in the context of a set of needs, preferences an individual or organization have, and the values they seek. The involvement of the actors in the policy process varies in Uganda according to the policy process phases, agricultural sectoral mandate, auxiliary or complementary roles, and function of the actor in question.

4. METHODOLOGY

This chapter outlines the approach employed in conducting the study. It also discusses methods used to collect, analyze and present data. It details study design, study sites, study population, tools/instruments, data collection, and analysis.

The assessment was executed in a participatory manner in order to ensure interaction between the consultants, implementing agencies, relevant stakeholders, government officials, private sector organizations, and target beneficiaries of the project, especially smallholder farmers. The review criteria used examined the following four elements allied to policy formulation:

Policy Element 1: Guiding Policy Formulation Approach/Model,

Policy Element 2: Draft Policy Formulation, Coordination, and Finalization,

Policy Element 3: Inclusivity and Stakeholder Consultation.

Policy Element 4: Evidence-based Policy Formulation.

In addition, the methodology involved review of relevant secondary data and information, identification of stakeholders, primary data collection and analysis and in-depth case study reviews of at least one case on successful development and implementation of specific policy/policies in the agriculture sector during the last five or so years from each country were undertaken in accordance with the study scope specification.

4.1 Summary of Terms of Reference

The terms of reference (ToR) articulated the primary objective of the study which was to assess the legislation and policy formulation development processes and enabling frame conditions with respect to ecological organic agriculture and make forward-looking recommendations on how the current systems and structures of legislation and policy formulation, development, and implementation processes can be improved for supporting EOA integration into national programs and plans in the a total of five Eastern African countries. It also enunciated the purpose and the scope of the assessment.

4.2 Study Design

This descriptive non-intervention study adopted quantitative and qualitative approaches to collect data in two phases and was largely based on 51 key informant interviews in Ethiopia, Kenya, Rwanda, Tanzania and Uganda including key EOA/OA actors in their respective countries. The instruments used for data collection included structured questionnaires and a policy formulation indicators checklist. Using different stakeholders' questionnaires, key informants affiliated with the EOA/OA sector were interviewed to gain insight into the policy process, relevant programs, supports and circumstances in their respective jurisdictions. In consultation with the responsible EOA country lead, and/or focal point in the country, the assessment dates for each of the site visits in the case of Ethiopia, Kenya and Uganda and telephone /zoom calls or emails in the case of Ethiopia, Kenya, Rwanda, Tanzania and Uganda and also on the preliminary list of key stakeholders to be interviewed were agreed on before the study commenced.

The study, with the help of National Organic Agriculture Movements (NOAMs) and other select contacts in each of the participating countries identified and contacted local organizations and relevant stakeholders to be interviewed. Key informant interviews were then held with the selected individuals.

A list of subjects covering the main study components—individual, organizational, and policy process— guided these interviews. The approach used to collect data for this study was dual utilizing both primary (key informant interviews) and secondary sources (desk review). During the assessment, data and supporting documents were also collected. These documents included organizations’ annual reports and different policy and strategy documents related to the food and agricultural sector in each country. The two approaches to information gathering helped in obtaining both qualitative and quantitative information needed to validate the study objectives

To complete the aforementioned objectives of the assignment, the study also adopted robust methodology and appropriate tools in consideration of the 2020 COVID 19 pandemic that limited travel and physical/face to face meetings in 2 countries namely, Rwanda and Tanzania. The methods used included:

1. Do No Harm Approach -In the context of COVID 19, this meant not propagating the spread of the virus but leveraging the available information from the project through secondary resources and grey literature, computer-based surveys and phone surveys.
2. Dialing for Data- These were slimmed down telephone interviews with key informants.
3. Setting up a “mini call center”- This enabled the administration of computer-based surveys via email and Zoom.
4. Train and facilitate data collectors - A data collector from each country was identified and facilitated to conduct face to face interviews with some of the key informants/ stakeholders.

In addition, the study sought to understand policy formulation processes through analytical case studies in the five countries. An analysis on country specific processes was valuable in order to better understand some of the factors influencing policy legislation and formulation in order to describe the core policy considerations, identification of key stages / patterns in policy development, main actors, institutions and their role, and underlying logic (whether evidence-based), lifecycles and models upon which legislation and policies focused on agriculture are formulated, developed and implemented in the selected countries among other factors. Alongside primary data collection, a review of relevant public and gray literature, legal and policy documents, project documents, policy briefs, case studies, etc. was undertaken. A list of documents reviewed has been included in the bibliography.

4.3 Study Sites

The study was conducted in five Eastern African countries, namely, Ethiopia, Kenya, Rwanda, Tanzania and Uganda.

4.4 Data Collection Approach

The study was conducted in English. The key informants provided information on various areas of interest including details of their organizations, human resources, financial resources, physical resources, research policy linkages, evidence-based policymaking, key constraints and proposed solutions, and questions related to policymaking capacities with focus on the organic agriculture sector. The data was collected using pre-determined interview schedule. A questionnaire that contained close ended and open-ended questions was prepared and sent to the identified stakeholders via email who completed and sent back to the consultants. In some cases, the consultant administered the questionnaire to the selected stakeholders via telephone and Zoom. The data collected was then analyzed and scrutinized to ensure its accuracy and reliability.

The desk review aimed at exploring the existing literature on agricultural policies and strategies. The focus was mostly on describing the legislation and policy formulation and the existing frameworks underpinning agriculture interventions in the five Eastern Africa countries. In-depth case study reviews of at least one case on successful development and implementation of specific policy/policies in the agriculture sector during the last five or so years from each country were undertaken in accordance with the study scope specification. The information was deduced from perusing relevant documents detailing general agriculture and organic agriculture policies, country specific agriculture sector plans, reports, publications, policy authors etc. that describe the policy formulation processes and structures in the selected countries. This exercise resulted in the identification of several pertinent issues and lessons related to legislation and policy formulation processes.

4.5 Sampling Technique and Data Analysis

Snowball sampling was used (a sampling technique with which study subjects recruit other subjects from their acquaintances) to recruit 51 key informants.

Using an interview guide, interviewees were asked about their views and experiences in developing and utilizing existing policies (if any), barriers or facilitators encountered in the policy development and implementation process, and the use of evidence in their respective countries among other issues. Data collected from the interviews were transcribed and analyzed. Three major issues were confronted in designing an approach and methodology to achieve the objectives of the study. They include.

- ◆ policy formulation is a complex political and administrative process that often crosses organizational and sectoral boundaries,
- ◆ getting reliable information on the formulation process is difficult,
- ◆ a widely accepted conceptual framework involving a theoretical approach for analyzing the process was not available.

Figure 2 below, depicts the schematic conceptual framework that guided the study. It is a consolidation of specific rudiments garnered from the literature reviewed, the multi-country assessment and findings in the previous sections.

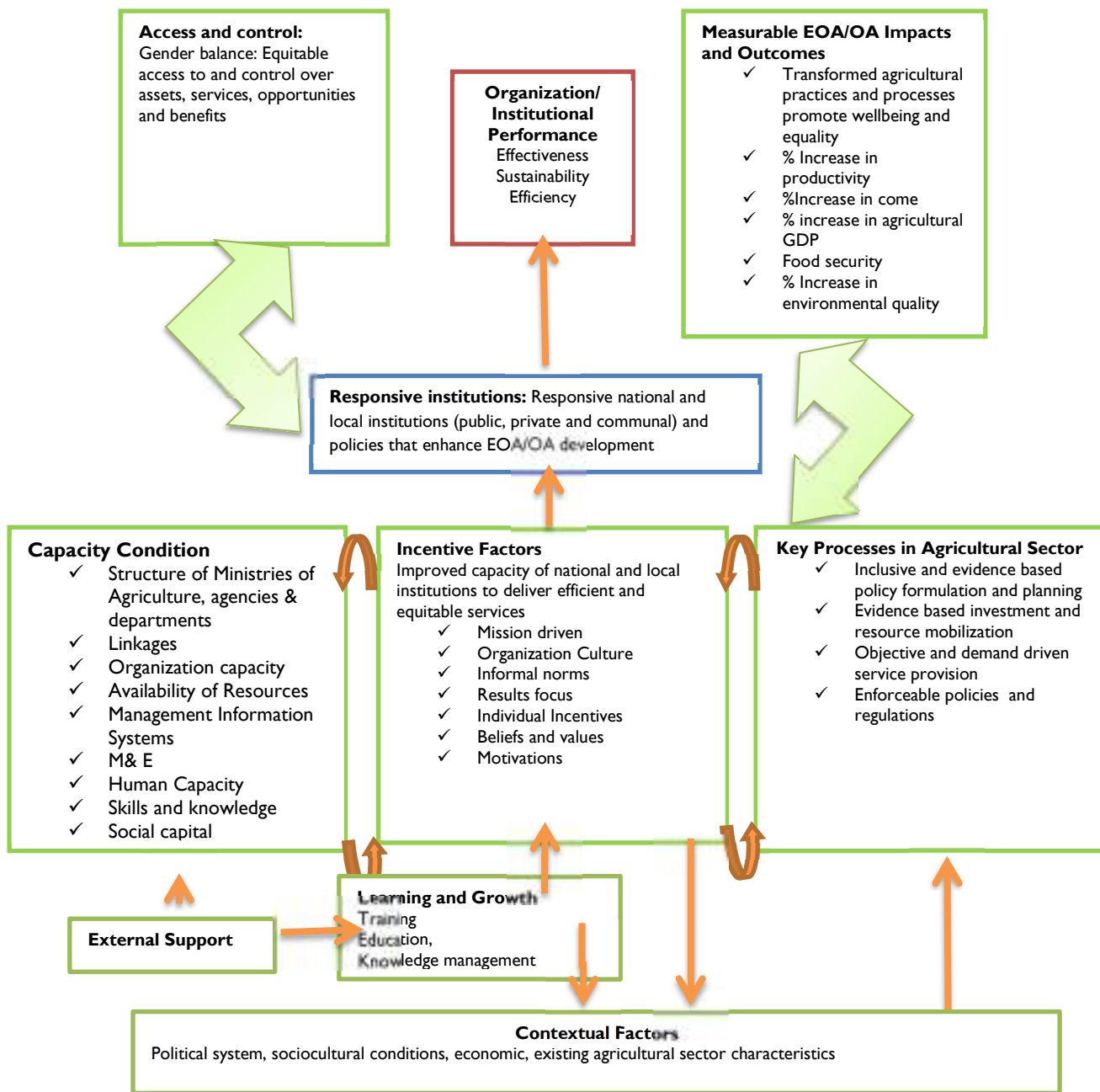


Figure2: Framework depicting compounding factors and conditions for performance and processes required for achieving desired EOA/OA policy formulation outcomes. Source: Author

The framework centers on the premise of a defined goal or outcome that a country or sector aims to achieve. In this instance, EOA/OA policy formulation and subsequent implementation can be achieved by creating efficiency, effectiveness, and sustainability measures.

4.6 Stakeholder Analysis

Based on the key stakeholder groups noted in the ToR, the study began with a stakeholder analysis of the sector.

Three distinct classes of stakeholders contacted for the study included the following:

- ◆ **Beneficiaries/Primary Stakeholders** – people the ecological organic agriculture (EOA) initiative(s) aims to reach and who have been involved in EOA project activities to date.
- ◆ **Partners** – those who have knowledge of EOA and/or its projects and beneficiaries, but who are not directly involved in policy development/formulation. A wide group of individuals that included development partners/donors and NGOs.
- ◆ **Policy Development & Management** – those who are directly involved in developing and implementing policies including think tanks, government officials, legislature, managers, staff, technical advisors, and sub-contracted implementers.

The stakeholder analysis based on Figure 3 below, helped identify the nature of the “stakes” that each key informant held in relation to the EOA/OA initiatives in their respective spheres of influence and consequential engagement in a process.



Figure 3: Stakeholder Analysis: Source Author

Interest: This dimension captures why, to what extent, and in what ways the respective stakeholder group is (likely to be) interested in and/or affected by EOA/OA global or country level performance.

Influence: The level of influence depends on the quantity and type of resources and power the stakeholder can marshal to promote its position or interests in EOA/OA global or country-level performance.

Importance: Based on the above two standards, the assessment team proposed levels of priority (high, medium, low) for engaging with the respective key informants during the data collection activity.

In dealing with these challenges, a cooperative approach was adopted from the onset and a conceptual framework on analyzing factors and conditions for performance and processes required to the achievement of the desired National EOA/OA policy formulation outcomes was developed. Interviews with agriculture ministry officials involved in the EOA/OA sub-sector especially helped identify other stakeholders knowledgeable about the policy processes.

In a nutshell, key informants' interviews were undertaken so as to better understand the level and type of EOA/OA policy formulation-related interaction with different stakeholders. Interaction with the respondents was based on informed consent and preceded with clear explanation of the objective of the research, the process, and the role of the respondent/key informant. Furthermore, the study had three attributes: it was participatory, gender sensitive, and conducted with appreciative inquiry (AI) as the guiding approach. AI keeps the big picture in view, focusing on an ideal and how its roots lie in what is already working and creates a new dynamic with people united around a shared vision of the future. Data from the study tools (literature/desk reviews and key informant interviews) was analyzed to draw various perceptions and conclusions.

5. FINDINGS/RESULTS

This chapter presents the findings/results of the study to assess the legislation and policy formulation processes in Ethiopia, Kenya, Rwanda, Tanzania and Uganda.

Figure 4 illustrates the percentage and profiles the selected interviewees (N=51) in the five countries which included consumers, farmers, researchers, trainers, academics, practitioners, policymakers, private sector actors, and development partners in the EOA/OA sub sector.

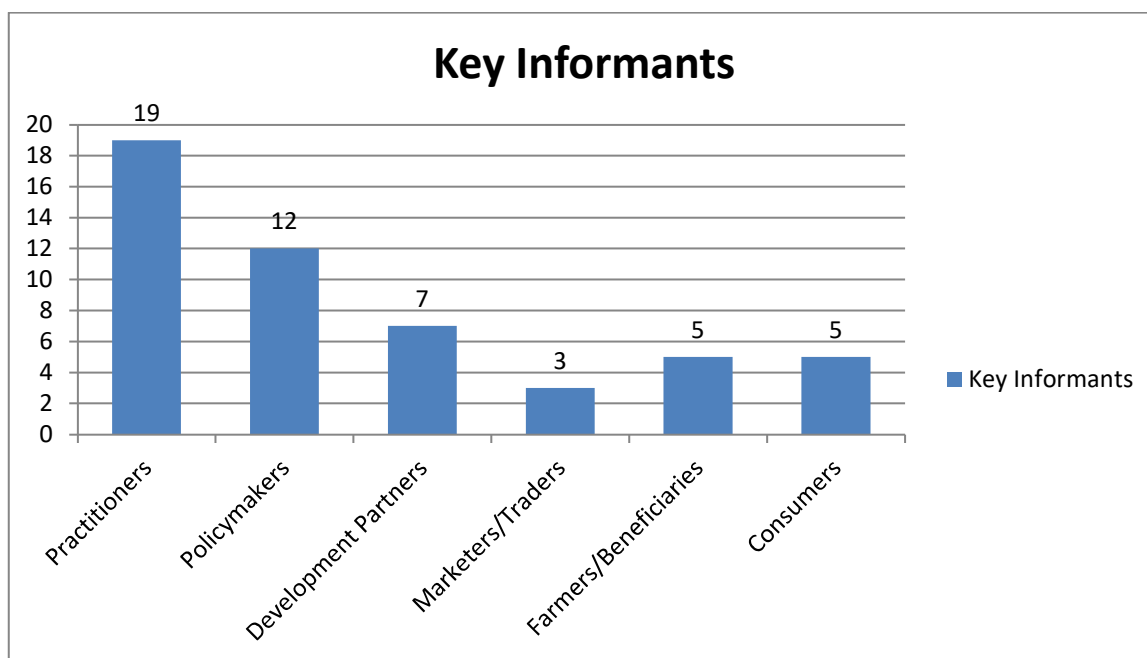


Figure 4: Key Informants Profile

As the selection and knowledge of the key informants are crucial to accurately interpreting the results, interviews were categorized based on their respective sectors to allow for comparative analysis across countries. Figure 5 below shows the gender representation of key informants contacted.

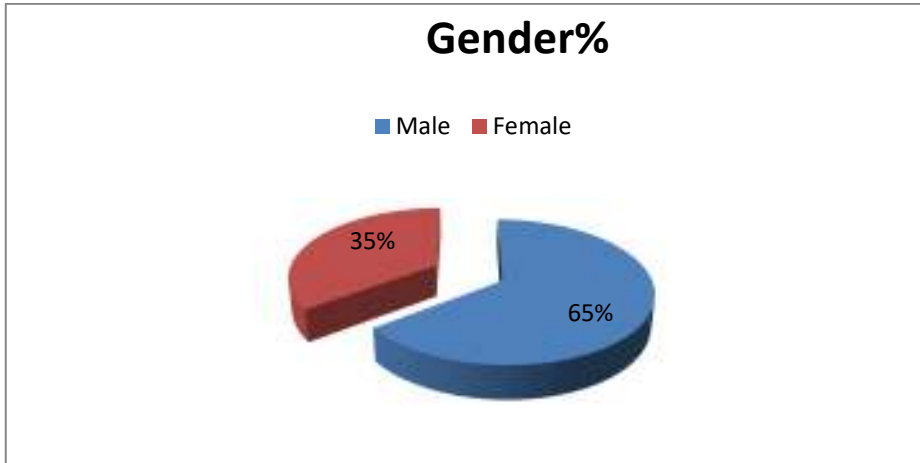


Figure 5: Total gender representation of key informants (N=51)

The intention of the data analysis was twofold: firstly, the status of agriculture and consequently of EOA/OA policy formulation processes were examined; secondly, the assessment interrogated the views of key stakeholders and their involvement and/ or support for the EOA/OA legislation and policy formulation process. A multi-country EOA/OA policy process assessment provided a framework for analyzing a country's effort and commitment to develop an agriculture policy or strategy. The assessment judgment here was based on a composite analysis of evidence, the observations of key informants, and the examination of four elements of the EOA/OA policy formulation process, namely:

- Policy Element 1: Guiding Policy Formulation Approach/Model
- Policy Element 2: Draft Policy Formulation, Coordination, and Finalization
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Policy Formulation

Each element was assessed using a three-tier rating system that used values that highlighted the level of attention needed to improve the effectiveness of the element in a country as shown in Table I.

Green: Within 70% of the target. A green rating indicates that the component is realized to a sufficient degree. (A solid framework, addressing the policy area concerned, is in place and has been officially adopted or has prospects of being adopted in the next 1 to 2 years).

Yellow: Within 50% of the target. A yellow rating means that the conditions required to achieve the component are partially achieved. (A draft framework exists, with some signs of government activity to address the policy area concerned).

Red: Less than 10% the target. A red rating means that significant attention is needed. (No concrete framework exists so far to address the policy topic concerned).

Table 1: Values used in the study

Indicator	Measures	Initiatives
Green (Substantial/ On Track)	Within 70% of the target <ul style="list-style-type: none"> ✓ Performance is substantial ✓ This rating means that the element is operating progressively towards the likelihood of an EOA policy enactment 	<ul style="list-style-type: none"> ✓ Key milestone/goal is being completed accordingly ✓ No real significant unmitigated risk foreseen ✓ An acceptable result, moving progressively towards target
Yellow (Modest/ At Risk)	Within 50% of the target <ul style="list-style-type: none"> ✓ Results are under the established target, but within a 50% chance of near completion. They need to be analyzed and monitored. ✓ A yellow (modest) rating symbolizes partial achievement of crucial conditions needed for the purpose underlying the element and additional attention is required 	<ul style="list-style-type: none"> ✓ Behind schedule in realizing key expected results. ✓ Milestone may be in danger of being missed. ✓ There are issues with the element but can probably be saved with corrective actions.
Red (Weak/ Attention Required)	Less than 10% the target <ul style="list-style-type: none"> ✓ Off target / milestones significantly off track. ✓ A red (weak) rating indicates that significant attention is needed to ensure the element is realized. ✓ This issue requires redress 	<ul style="list-style-type: none"> ✓ This element is currently off track and action is required (e.g., re-scoping, re-evaluation of expected benefits, additional resourcing) <u>or</u> ✓ There is no known plan in place to address the missed milestone and may be in jeopardy. ✓ Results are way under the established target/goal and require urgent attention

Potential identifiable gaps in areas such as information, capacity, fiscal, administrative, and policy were also briefly explored.

5.1 Amalgamation of the Findings

Part I: Overview of Multi-country Analysis of Policy Formulation Process Indicators

The multi-country ecological organic agriculture policy formulation process assessment provided a framework for analyzing a country's efforts to develop an agriculture policy or strategy by identifying main barriers, formulation of EOA/OA policies and overall coordination of actions across public and private institutions. Figure 6 below depicts the four key indicator scores across five countries.

Figure 6: Total Indicators Scores Across Five Countries

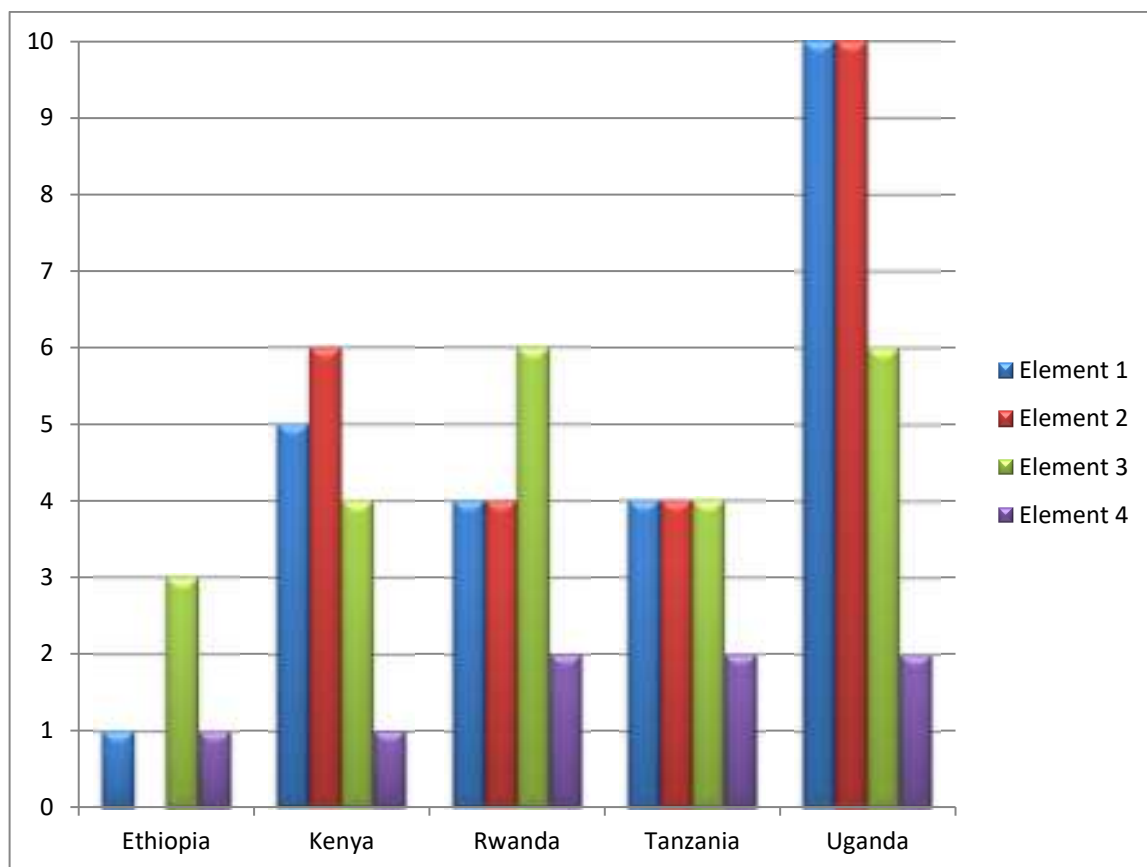


Figure 6: Total policy element scores across five countries

Policy Element I: Existence of Guiding Policy Formulation Approach/Model

The purpose of Policy Element I is to understand the guiding framework that underpins the agriculture policy formulation process. Policy Element I examines whether there exists a system to guide an EOA/OA policy formulation.

Key Findings

The Eastern Africa countries are at very different stages in their organic policy formulation processes. However, some effort has been made towards ensuring consistency in the policy making process in relation to EOA/OA policy formulation.

While every country in the study has and maintains an approved national agricultural policy/strategy, the indicator on alignment/mainstreaming of ecological organic agriculture priorities within the work plans of line ministries showed no or very slow progress. The existing policies lack the needed momentum to achieve EOA/OA related goals in the next 1 to 2 years. Furthermore, they are not sufficiently connected/ are incoherent across sectors. There is a clear need for greater policy coherence to avoid the overlap of possible policy objectives. Moreover, incentives that may hinder EOA/OA policy formulation progress and subsequent adoption (e.g., conventional agriculture subsidies like fertilizers and hybrid seeds or other related policy incentives) also need national redress.

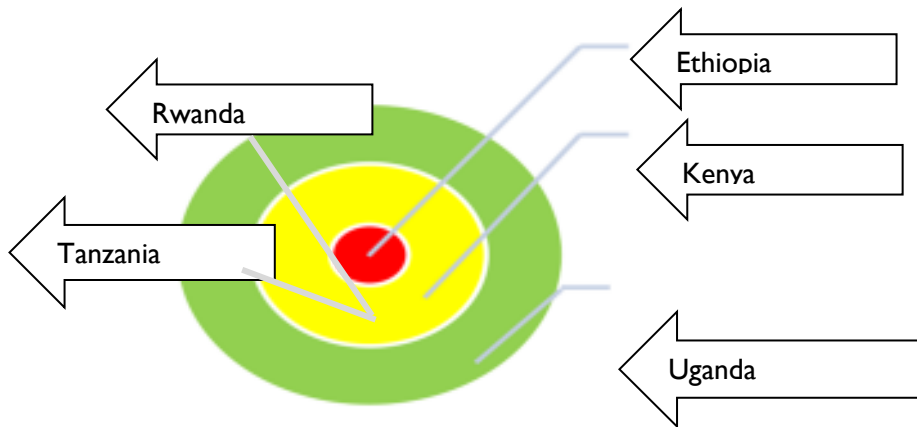
The study noted that policy formulation processes in the five countries are shaped by the interaction between several international and domestic factors. The Ministry of Agriculture (MoA), while being the lead ministry in the Eastern Africa countries on the national organic agriculture policy formulation and negotiations efforts, is also charged with the responsibility of overseeing coordination and implementation across the government. It was observed that considerable progress in recent years has been made in each country to adopt the policy. However, the process in each country has taken more than 5 years since it was first drafted, or the issue was first raised. National governments should endeavor to support and raise awareness of the benefits of organic agriculture in their countries. Some key informants noted the problems with accountability, lack of public participation, corruption and the lack of incentives and capacity to draw in evidence in policy formulation and implementation.

- ✓ In the Ethiopian context, the overall policy procedure is as follows: The Constitution – Sectoral Policy – Proclamation – Regulation – Guidelines. Based on the constitution and without having organic agriculture policy, the government jumped the policy formulation step and had the parliament ratify a national organic agriculture proclamation which gives responsibility and accountability to the Ministry of Agriculture to work with. Ethiopia lags behind in this regard. There is no current standalone organic policy or regulations document. It however has a ratified national proclamation which ought to have been supported by a national organic agriculture policy and a national organic agriculture legislation/regulation that enforces the grassroots implementation of organic agriculture in a country. The document that is currently in use is titled “Rural Development Policy and Strategies.” The EOA/OA sub sector lacks substantive government support. Where and when available, it has been limited and inconsistent, and only available for cash crops such coffee.
- ✓ Kenya’s findings indicated that there existed an active organic agriculture network and minimal organic production support. However, there is poor intra-government coordination, especially between the lead Ministry (MoA) and other ministries, parastatals, and stakeholders. A draft NOAP document exists but is yet to be discussed at the cabinet level.

- ✓ Rwanda joined the EOA about one year ago in 2018. The initiative has not yet worked on many things but so far, there is a National Platform. Rwanda's findings indicate that there exists an active organic agriculture network (ROAM). There is no policy for ecological organic agriculture in Rwanda. Different elements of support to organic farming are delivered through a range of sectoral policies (e.g., land management, fertilizer planning, and export competition). ROAM is in talks with Rwanda Government on establishing a National Organic Policy.
- ✓ In Tanzania, there is no specific policy, rather a few scattered policy statements in, for example, the Agriculture Policy 2013 (currently undergoing a review). However, in November 2019, a conference on EOA was conducted in Dodoma with a significant presence of Ministry of Agriculture officials and legislators. Tanzania's findings indicate that there exists an active organic agriculture network (TOAM) but no EOA policy in place.

“There is no specific policy, rather a few scattered policy statements in, for example, the Agriculture Policy 2013 (currently undergoing a review). However, in November 2019, a conference on EOA was conducted in Dodoma with a significant presence of Ministry of Agriculture officials and legislators (Members of Parliament)...so the information is getting across. Also, EOA policy formulation in Tanzania is weak hampered by the uncertainty on outcomes (assurance on food and nutrition security) for the majority of population in case such a policy is in place and is implemented.” *-Practitioner/Researcher - Tanzania*

- ✓ Among the five countries, Uganda is currently leading in terms of the national government's commitment to EOA/OA among the three countries. It has a robust organic agriculture network of over 250,000 stakeholders, substantial organic production support, market support and some data from several baseline studies. Furthermore, a national organic agriculture policy (NOAP) document has been drafted and reviewed and is ready to be discussed at the cabinet level as of October 2018.
 - ✓ Additionally, a corresponding action plan/implementation plan for the NOAP has been formulated.
- *Latest development in Uganda (September/ 2020)* Uganda launched the long-awaited National Organic Agriculture Policy (NOAP), at the Ministry of Agriculture, Animal Husbandry and fisheries (MAAIF), offices in Entebbe.*



Four countries (Ethiopia, Rwanda, Tanzania) scored weak- Less than 10% of the target (Rating: **Red**).

At the time of the first phase of the study in 2018, Kenya’s score was modest – Within 50% of the target (Rating: **Yellow**)

**Latest development in Kenya (July 2019)* The Ministry of Agriculture, for some reason said that the policy formulation process needed to be abandoned and needs to be started all over again. However, no action has been taken in this regard so the current NOAP draft policy is in limbo as of December 2020.*

One country (Uganda) scored substantial - Within 70% of the target (Rating: **Green**)

Despite the fact that institutional responsibilities of individual line ministries are often clearly defined, confusion is very common when it extends to ownership and adoption of EOA/OA subsector-related issues.

While agriculture ministries were generally found to have clearly defined mandates, a common theme across the five countries was a lack of clarity over the responsibilities and stewardship for EOA/OA related issues.

“...EOA and conventional initiatives isn’t about doing everything together necessarily. It’s about who provides what, and what are the linkages between the two if any. And so, things can be integrated in more than one way. They don’t have to all be in the same platform, [...] I would rather see somebody doing EOA every day and doing conventional agriculture every day and not having to do anything at all, but I would like to see them both have national guiding policies. -Policy Maker – Rwanda

“EOA needs its own home and a driver—a separate department or unit with competent manpower, adequate resources and effective management. Organic should be one key area of the Agriculture Ministry. Our government should be conscientious in management of the three main sectors of organic agriculture. These are: i) **“Software:”** establishment of education forums, training, and promotion of knowledge and information, ii) **“Hardware:”** availability of **organic** fertilizer, seeds, land, storage, lab, transportation ...etc., and iii) **Market:** coordination between and within the national and international markets for greater exposure and better prices. If these areas can be strengthened, then ecological organic agriculture can be sustained, which can in turn aid the growth of the nation.”
-Policymaker – Kenya.

Across countries, the absence of EOA/OA legislative capacity and centralization of power has almost exclusively delegated policy drafting power to the executive branches.

The role of the legislative branch involvement in drafting EOA/OA policy was found to be limited in the country assessments. The centralization of power within the executive branches (Ministries of Agriculture) was noted as a common constraint across practically every country assessed. In the five countries, the executive branch was found to have too much power over the legislative branch. In Ethiopia, for example, the executive branch was found to exert significant influence over the legislative branch, and parliamentary oversight was found to be limited.

Multi-country Lessons

- ✓ The general policy frameworks supporting EOA/OA policies in Uganda and Kenya are more advanced/developed.
- ✓ Whereas line ministries have well-defined agriculture policies/strategies and functions, there is a considerable lack of EOA/OA-related information in them.
- ✓ The role of the non-executive branch and other stakeholders in drafting the EOA/OA policy is still very limited.

Policy Element 2: Draft Policy Formulation, Coordination and Finalization

Policy Element 2 examined the key components of how EOA/OA policies are formulated. First, this policy element focuses on whether there is adequate technical and administrative capacity to determine EOA/OA policy formulation challenges, consult key stakeholders, and perform the required support processes. Second, it explores the functioning of the cross-sector coordination and finalization efforts.

Key Findings

The absence of permanent technical and administrative capacity for policy is the greatest policy incoherence and constraint to policy formulation and consequent implementation.

One of the strongest positive takeaways from this study is that the five countries have agriculture policies/strategies. Each country in the study has an approved agriculture / food security policy or strategy with clearly defined objectives, a detailed results framework, and investment plans in various stages of completion which were required through the CAADP Compact. However, one issue highlighted across the countries was a lack of policy coherence, mainstreaming or prioritization of EOA/OA initiatives within the agriculture strategies and associated investment plans. For example, key informants in Kenya recommended the finalization of the draft of national organic agriculture policies and the initiation of the draft policy in the case of Ethiopia.

These would not only make the necessary resources they need available, but would also enable national, regional, and international development partners to identify priority areas to collaborate on or support.

A cross-sectoral policy coordination mechanism is central to effective legislation and policy formulation, but such a mechanism requires sufficient political will to wield enforcement power over line ministries.

The policy coordination indicator measures the existence and subsequent effectiveness of a dedicated coordination unit that meets regularly to discuss, develop, and coordinate EOA/OA policy formulation/development, finalization and cross-sector coordination. One of the key prerequisites of a high-level commitment to EOA/OA is successful multi-sectoral coordination. This ensures the efficient and strategic delivery of EOA/OA interventions.

For the five countries examined in this project, most stakeholders agreed that there are other sectors that should be more engaged in the planning processes and action plans for EOA/OA agriculture. Many stakeholders perceived that EOA/OA plans are led, by default, by the Ministry of Agriculture, which is a disadvantage for a true coordinated response. Ministries such as those of Health, Education, Urban Development, Women, Children and Social Welfare and Protection, and Local Development are seen as secondary.

From the study, it emerged that the Eastern Africa countries need to have an appropriate institutional framework with sufficient capacity in terms of skills and resources to make and effectively implement the right EOA/OA policy decisions. Stakeholder participation in EOA/OA policy processes should be enhanced through establishment of many robust national and regional EOA support networks.

“The working in ‘silos’ method /lack of inclusivity of all stakeholders in relation to EOA/OA initiatives is very pervasive and has proved to be an obstruction in the pursuit of the realization of the national organic agriculture policy endeavor and the inclusion of EOA in national agricultural research policies and programs, as well as educational programs at different levels.” -Practitioner – Ethiopia

“EOA initiatives of private sector can engage state initiatives and then stimulate the development of an organic farming policy/ecological organic agriculture in Rwanda. -Practitioner – Rwanda

For a veritable multi-sectoral response in EOA/OA to happen, the above-named sectors/ Ministries need to be considered primary and be effectively engaged from the outset of the policy formulation planning through implementation and evaluation. This may involve providing incentives and accountability structures for the proposed policy, and the sectors themselves will need to understand how they will benefit if they get involved.

Effective policy formulation coordination also requires a functioning administrative support unit.

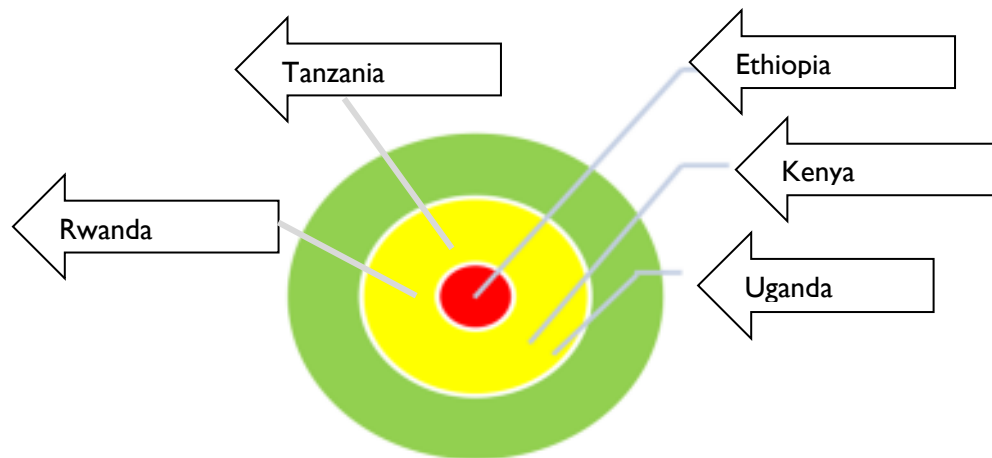
Study findings indicate that there is poor coordination between the lead Ministry (Agriculture) and other government and non-government entities. There is little evidence of attempts to mainstream EOA/OA policy into national development objectives. Each Ministry seems to be largely operating independently with limited consultation and prioritization of activities. Poor harmony and coordination within the Ministry of Agriculture and other key EOA/OA stakeholders particularly was reiterated. In order to improve coordination and harmonization of negotiation positions pursued under bilateral, regional, and multilateral agreements, it is important that the various desks handling EOA/OA issues be placed squarely in the Ministry of agriculture and have a department or directorate dedicated to EOA/OA issues only.

“Governments of the day should help create a National EOA/OA Advisory Council charged with the responsibility of ensuring proper coordination and linkages with various stakeholders, as well as harmonization of issues in various departments and divisions within the Ministries of Agriculture and across governments. Also, they should launch EOA/OA Policy Centers, within existing research institutions, charged with responsibility of providing research, technical and analytical support for improved policy formulation and implementation. Hand in hand with this, EOA/OA consultative forums ought to be founded at the sectoral, national, and Permanent Secretary levels in each country. For the younger generation, Ecological Organic Vocational Training Centers should be inaugurated.”

- Donor/Development Partner, Uganda

The strengthening secretariats, both in the government sector and CSO is vital since they can play a vital role in encouraging collaboration around a shared vision and common agenda for policy formulation/ development. The secretariat/administrative support function can help determine whether there is adequate staff capability to perform required support processes, including coordination, communication, and document and meeting management. The five countries do not have standalone units responsible for coordinating EOA/OA policy formulation. Inadequate technical and administrative capacity to formulate policies and limited material capacity, including human resource posed a challenge in every country studied. As illustrated above, the use of EOA/OA methods leads to increased soil fertility and many other features of resilient farming systems.

One informant recounted the following with respect to the National Organic Agriculture Policy currently in draft form; “I have never quite determined where the initial force was coming from, whether it was the minister back then...wanting a document on the table...you never really quite know what's informing the current process without current data to rely on.” - Think Tank, Kenya



The lack of adequate technical and administrative capacity to formulate policies posed a challenge in Kenya, Rwanda, Tanzania and Uganda. They scored modest- Within 50% of the target (Rating: **Yellow**). This rating was arrived at because the countries are actively pursuing ways to get an EOA policy document in place in each respective country (except Uganda which has a NOAP in place as of December 2020). The policy challenges encountered include incoherence and limited material capacity (including human resource). However, the NOAMs in these counties are very active in developing capacity for policy development among other skills. With so many individual projects and limited resources, the current staff in key ministries are too thinly spread to have significant impact. Human capacity in the five Eastern Africa countries is a limiting factor in achieving project targets related to EOA policy formulation processes.

One country (Ethiopia) scored weak- Less than 10% of the target (Rating: **Red**).

Multi-country Lessons

- ✓ National agriculture strategies and policies are largely in place, and while they are strong on paper, a lack of EOA/OA mainstreaming and policy formulation prioritization persists.
- ✓ Despite increasing support for policy development efforts in agriculture ministries, 100% of countries studied did not possess internal capacity for EOA/OA policy analysis and coordination.
- ✓ The development of resilient farming systems builds on local knowledge/innovation and necessarily will interact with local eco-systems and conditions.

Policy Element 3: Inclusivity and Stakeholder Consultation

Policy Element 3 examined the degree of inclusivity and stakeholder consultation involved in the policy development process. It looked at the private sector and civil society from two angles: 1) Meaningful opportunities to participate in policy formulation and strategy discussions, and 2) capacity to constructively contribute to policy dialogue.

Key Findings

Governments, private sectors and civil societies require considerable inclusivity, goodwill, and transparency to meaningfully engage in policy formulation and key advocacy efforts.

Beyond governments having the openness to include stakeholders in the policy development process, key stakeholders need to be able to collect and organize the viewpoints of their constituents, develop an informed policy position, and effectively communicate this position.

“There is sometimes growing suspicion and sometimes secrecy towards science and scientists among the public, which will have an effect on policy formulation and implementation. There is inadequate information on issues related to EOA, including, production techniques, processing, labeling and marketing. This tends to deny farmers opportunity to utilize the market potentials.”

- Consumer- Tanzania

“Given that the current system of policy formulation in Ethiopia has significant limitations with respect to stakeholder engagement, co-ordination, and data sources, it can be expected that these EOA/OA policy formulation issues will only be compounded with larger hurdles to deal with, a challenge that holds a lot of concern for EOA/OA stakeholders at all levels.”

- Practitioner/Think Tank, Ethiopia

Inclusion of the private sector and civil society organizations in food security and agricultural policy reform is inconsistent and oftentimes does not provide sufficient advance notice or time for internal consultations. Stakeholders do not view themselves as equal partners in the EOA dialogue and would like to have greater access and play a larger role in policy formulation.

“We have to do the best thing for our children. We are just farmers...but we need more support like training so that we can teach them organic techniques of farming to ensure they will be independent in the future.”

- Farmer, Kenya

In Tanzania for instance, the major weaknesses in the linkages among the leading agricultural ministries, NGOs, and CSOs include inadequate participation of the private sector and smallholder farmers in the policy process and various issues that require decision-making. Also, the lead ministries have been reported to have weak information-sharing systems, such as inadequate sharing of budget-and policy-related documents. Some priority interventions to address these weaknesses, as suggested by respondents and other stakeholders, include encouraging the participation of all potential stakeholders, such as private-sector actors and smallholder farmers; improving information-sharing systems at the lead ministries; and using the media to enhance public scrutiny of food and agricultural policy performance in Eastern Africa.

“The present agricultural policy gives too much priority to conventional agriculture with high emphasis on the application of chemical inputs (fertilizers, pesticides, fungicides ...) and yet, it does not offer a space to EOA as a sustainable alternative farming method.

Following policy domains are missing: Ecological Organic Agriculture, Biodiversity Conservation, Natural Resources Conservation, Social Responsibility (Occupational Health and Safety related to chemical inputs, the aspect of food safety within the food security component...), Organic certification and organic market development ...”

- Practitioner/Think Tank- Rwanda

The assessment found considerable capacity needs across both the private sector and civil society.

“NGOs, if possible, should develop their own training centers for better learning and practical on EOA. Also, the Government must establish and develop a clear policy that will clearly demonstrate on how it will support the farmers doing Organic Farming. Lastly, there should be a requirement for all extension officers to be with at least knowledge on Organic farming techniques because currently it is not there.”

- Farmer, Tanzania

All resources necessary should be committed to starting or finalizing any pieces of legislation and subsequent regulations essential for creating the enabling environment for an EOA policy formulation in the five Eastern Africa countries.

“Implementation of EOA policy can be strengthened through involvement of all important actors in our Agricultural sector from highest levels to the lowest levels, it shouldn't end only with the Ministries and institutions -it can be brought down to high school students. Let the policy state things which are practical basing it on our environment, seeds, market and knowledge. Actors who are hoping to implement this policy should have practical demonstrations so that everything written on the paper is evidently done in the field. EOA can be a campaign tool in other cross cutting issues like gender. Actors should use different platforms to propagate the issue of EOA. Let Actors first raise awareness on EOA before implementation of EOA.”

- Development Partner- Tanzania

Key informants were asked for their views on the critical success factors for the EOA/OA legislation and policy formulation processes — for instance, how can EOA be strengthened?

Their general responses stipulated that to meet the strategic analysis and knowledge management objectives of the EOA policy formulation process, each country should have full representation of all potential institutions, such as agricultural sector lead ministries, development partners, think tanks and universities, government agencies, NGOs, and civil society organizations. These joint efforts will improve the overall quality and utility of organic agricultural policy analysis and implementation, M&E, and knowledge management.

While most respondents urged the engagement of the general public, in addition to farmers and consumers, some felt it would be rash to do so. Rather, they advocated that the public should be engaged once a vision and a clear work plan have been articulated so that their (the public's) views and concerns will inform the implementation of the next stages. When asked to identify specific actors, individuals, or groups who should be engaged, respondents named both luminaries and "thought leaders" from within their own sectors and the research enterprise generally, but also supported the inclusion of some voices that are not often heard, such as those of average consumers.

"MINAGRI should involve Civil Society and Private sector federation at earlier stage and then take into consideration their concerns and requirements. To avoid too much influence of chemical industry and the related agro-chemicals' dealers."
- Practitioner/Thin Tank - Rwanda

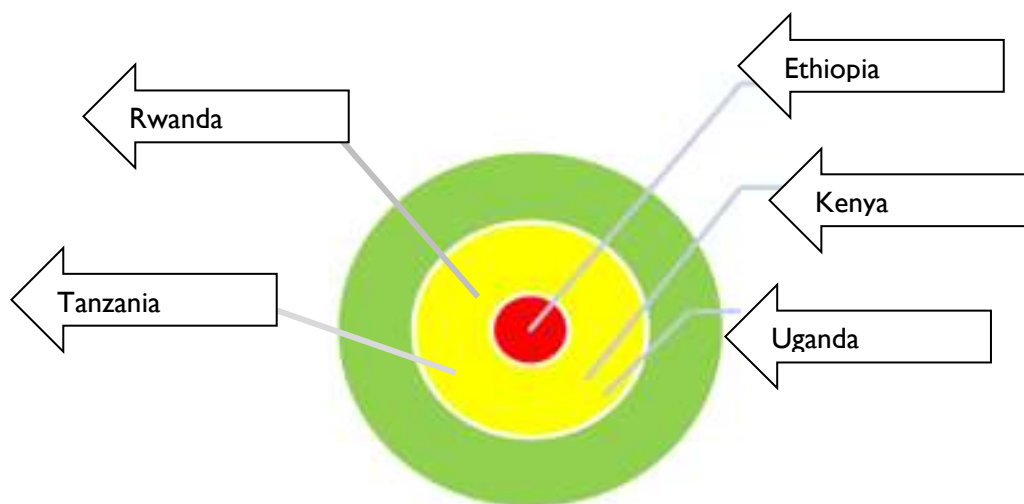
"I would like to be consulted and involved in the policy formulation processes in this country. As a consumer of organic products, I am not just concerned about the quality, safety and price of their food but also about the health, social, ethical, ecological, and animal welfare impacts occurring at different stages of the supply chain."
- Consumer - Kenya.

Vertical and forward distribution of power between the different tiers of government and the decentralization of resources and competencies need to be reassessed in order to better respond to the diverse opportunities and demands of the different countries and improve policy formulation and implementation efficiency.

"AfrONet has not yet been able to unify the stakeholders of the African Organic Sector at continental level and one General Assembly in 3 years is not enough; it should be a continental meeting every year. In some countries, there is not yet a National Organic Agricultural Movement (NOAM). AfrONet has not yet initiated effectively a dialogue with regional organizations like EAC and also AU commission to engage them with the government's members towards EOA recognition. The intervention from AfrONet to support NOAMs is very low."
- Practitioner/Thin Tank - Rwanda

Many informants emphasized the need for national guidelines and improved coordination and collaboration between different levels, tiers and authorities of the agricultural sector to bridge the separate "silos" of EOA related efforts and subsequent policy formulation and implementation as well as the need for joint responsibility and accountability of outcomes.

For greater EOA/OA uptake, it is also fundamental that public debates are held and smallholder farmers, women, and the youth have greater participation in policy- and decision-making.



The five countries studied exhibited a common lack of inclusion within the policy coordination effort. No country scored substantially on this indicator. Kenya, Rwanda and Tanzania and Uganda scored modest- Within 50% of the target (Rating: **Yellow**) whereas Ethiopia scored weak- Less than 10% of the target (Rating: **Red**). The private sector was found to have a greater opportunity to participate than civil society in the policy development process since governments generally treat civil society with “some degree of mistrust” as one key informant reported. The Ethiopian policymakers, for example, expressed an apprehension to work with advocacy organizations.

More Actors Need to Be Involved in Policy Formulation Processes

The majority of the study respondents applauded the breadth of ‘actors/stakeholders’ identified in the ToR, but also added ‘new’ actors to the list. The comprehensive list is presented in Table 2.

Table 2: Key players who need to be engaged in the formulation of an EOA/OA policy

- Researchers representing a good balance from all four ‘pillars’ of research
- Government policy makers from all relevant government ministries (those with involvement in health research)
- Clinicians/health professionals/health and healthcare workers
- Gender-balanced researchers or experts from all EOA ‘pillars’
- Government policymakers from all relevant government ministries (e.g., education, health, land, environment, finance, youth, gender)
- Non-governmental organizations/charities/foundations
- Beneficiaries/farmers and consumers voices
- Data holders (e.g., National Bureaus of Statistics)
- Health authority administrators and managers
- Private sector/industry

Multi-country Lessons

- ✓ Despite greater government commitments, the private sector, civil society, and beneficiaries remain marginalized in the policy formulation processes. For instance, private sector, CSOs and beneficiaries need to strategically position themselves to actively participate in policy formulation process or rather promote public-private partnerships in policy formulation processes.
- ✓ The greatest private sector and civil society impact has been achieved through umbrella organizations that bring together all actors under a common voice.
- ✓ Several key informants voiced the need for better networking among organic agriculture practitioners and other stakeholders to improve the exchange of information and strengthen policy advocacy.
- ✓ There is still little consumer awareness in the five countries about the benefits of organic agriculture and how to get the products where they are available. This constrains the development of viable local organic markets and also means that although more farmers are adopting organic agriculture practices, their primary focus is on exporting to countries further north. More effort needs to be made to establish more local outlets and raise awareness in the Eastern Africa countries.

Policy Element 4: Evidence-based policy formulation

Policy Element 4 examined the research, data, and statistics needed to support government efforts related to EOA/OA policy formulation processes. Reliable and timely information allows policymakers to understand key policy issues, develop informed policies, identify the most appropriate policy direction, and review the effectiveness of the policies.

Key Findings

Despite growing political commitment by governments to evidence-based analysis, country assessments show that the practice of evidence-based policymaking remains limited or absent.

Key informants in Ethiopia, Kenya, Rwanda, Tanzania and Uganda have highlighted a number of weaknesses in the interaction and linkages among actors that include the government in the agricultural landscape. Overall, the Ministry of Agriculture's linkage with other organizations involved in the policy processes in the five countries is weak. The major missed opportunity is between policy analysis and the highest levels of influence. As reported, the national decision makers (including the president and parliament) are not reached systematically by sources of evidence and cutting-edge research on the role and importance of the agricultural sector and on viable options and priorities of advancing the sector. Although the offices of the president have agriculture advisors, key informants suggest only weak interaction between them and Ministry of Agriculture officers.

The development community at large regards evidence-based analysis as a central pillar in policymaking. In June 2014, the African Union signed the Malabo Declaration and reaffirmed its commitment to the principles and values of the CAADP process, which include the “application of principles of evidence-based planning, policy efficiency, dialogue, review, and accountability.” The absence of quality data combined with limited independent analytical capacity has resulted in a policy formulation process that reacts based largely on broad economic data rather than informed analysis.

Evidence-based data is constrained not only by the availability of timely and reliable data, but also the systems that allow access to this data.

The availability of quality statistics to inform evidence-based policy formulation posed a problem across practically all five countries in the study. Agricultural extension officers for the EOA/OA subsector are not available. The five Eastern Africa countries, countries have some agriculture related data, but it is not often current.

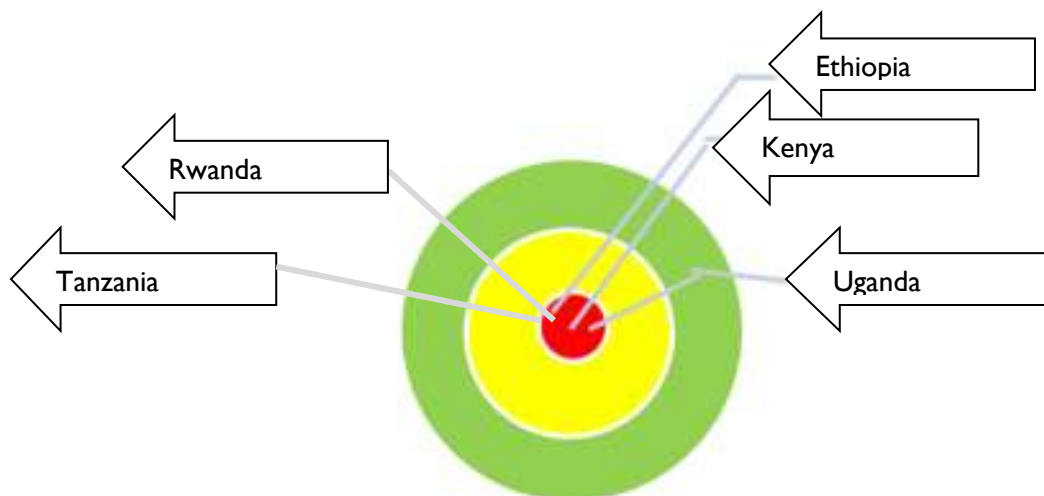
“Each policymaker has to cover vast thematic fields and cannot possibly have an in-depth knowledge about every issue in those areas. They are therefore heavily dependent on the knowledge and integrity of the people who inform them. This raises difficult questions about which policymakers should turn to for accurate data information advice, and how they can judge the advice given to them – for example, the increasing amount of advice coming from the NGO sector.” - *Development Partner - Rwanda*

A common theme across countries was the strong capacity of independent research institutions to conduct policy analysis.

The strongest indicator in this policy element was the capacity for independent research institutions to conduct policy-related analysis. In, for example, a collection of research institutions and CSOs came together to review progress in implementing the agriculture/food security investment plan. Across all countries, institutions like the International Food Policy Research Institute (IFPRI), FAO and CGIAR among others are engaged in supporting the development of independent research capabilities.

“In EOA policy making, balancing governmental, societal and consumer/market goals and balancing institutional and private stakeholder interests in the organic sector present particular challenges for policymaking. - Policy Maker- Tanzania

It is clear that the use of evidence in policy formulation will only become a reality if it is a formalized part of the government’s policy-making systems. Certainly, a systematic approach to EOA/OA policy formulation and implementation may achieve this by helping ministries manage the complex and dynamic nature of EOA/OA policy formulation in the five countries. They all lack reliable EOA data and their independent analytical capacity is limited. The use of evidence in policymaking will only become a reality in these countries if it is a formalized part of the government’s policy-making systems. A systematic approach to EOA/OA policymaking and implementation may achieve this by helping ministries manage the complex and dynamic nature of EOA/OA policy formulation in the five countries.



For the indicator showing the usage of evidence-based analysis to develop policy priorities/proposals, all five countries scored weak -Less than 10% the target. (Rating: Red).

Multi-country Lessons

- ✓ Undoubtedly the translation of evidence-based policy formulation in each country contexts represents a considerable challenge. It is important to note that there is a considerable diversity of cultural, economic, and political contexts which make it especially difficult to draw valid generalizations.
- ✓ There may be less public representation, weak structures for aggregating and arbitrating interests in society and weak systems of accountability in evidence-based policy formulation.
- ✓ EOA/OA stakeholders require capacity building to articulate their policy positions, provide some level of evidence-based analysis to support their views, and offer EOA/OA constructive recommendations for effective policy formulation processes.
- ✓ While it would seem the absence of suitable research and data leads to poorly informed policy decisions, the inverse is not always true: sound technical analysis does not always equate to better designed policies or improved policy outcomes as key policy makers may not necessarily accept the analysis.
- ✓ The best practices in EOA/OA need to be bolstered through adoption and adaptation of innovations of the technologies, systems, and practices, by smallholder farmers, women and youth in the region. Programs that support organic producers and encourage others to transition to organic for domestic supply to meet demand are vital, yet a key challenge for Eastern Africa and the Africa region's organic sector.
- ✓ One fundamental finding from this study is that the philosophy of the corporate organic value-chain and EOA/OA hardly correspond. Markets in general are economic institutions that permit trade. At the beginning of the economic development of a country, government action may be needed to favor the emergence of markets that do not exist. For example, a fundamental precondition for an EOA market to exist is that property rights are well defined and enforced. It is obvious to consider that, in order to trade something, the property value and rights must be clearly defined. Usually, it is the government responsibility to assign and enforce rights and controls.
- ✓ Land reform policies, for example, are still a very important task for the Eastern Africa governments. There may be the need for government intervention to achieve the efficiency predicted by the classical theory of general equilibrium. The presence of steep certification costs, in fact, may prevent some of the potential beneficial EOA trade from taking place. It is argued that the reason why organic products can be sold through the corporate value-chain is that the philosophy of EOA/OA is not fully translated into the policy and regulations. It is concluded that either the gap between the philosophy and regulation of EOA/OA needs to be filled, or a clear distinction needs to be made between the two to avoid contamination of terms and falsification possibilities.
- ✓ It is important to acknowledge that evidence is but one of many factors that influence legislative and policy formulation processes. Policymaking is inherently political.

The forms of investment support that could include transition or certification assistance (financial or technical), organic-specific extension services, funding for organic science and research, or crop insurance that recognizes organic price premiums in its coverage plans are nonexistent in the five countries. It is argued that the reason why organic products can and are sold through the corporate value-chain is that the philosophy of EOA/OA is not fully translated into the policy and regulations. It was concluded that either the gap between the philosophy and regulation of EOA/OA needs to be filled, or a clear distinction needs to be made between the two to avoid contamination of terms and falsification possibilities.

5.2 Evaluation of the five-country study approach

◆ The multi-country ecological organic agriculture policy formulation process assessment has limited scope as a multi-country comparison tool.

While analysis across the five countries has shown the prevalence of a number of recurring issues, an analysis of the indicators shows a degree of inconsistency in scoring across countries, which is largely due to the subjective nature of the policy formulation process.

The tendency for a study like the multi-country ecological organic agriculture policy formulation process assessment is to rank indicators in a country against each other, rather than against a global standard for each indicator, as such a benchmark does not currently exist. The path and trajectory of policy legislation and formulation are complex, non-linear processes that are often unique to a particular country.

◆ The multi-country ecological organic agriculture policy formulation process assessment shows promise as an in-country comparison tool over time if the key parameters are clearly defined and indicators identified.

Analysis of the multi-country ecological organic agriculture policy formulation process assessment demonstrates that the approach would be more useful as an in-country comparison tool to measure reforms over time. Each assessment has set a benchmark of the state of a country's policy formulation/development and implementation process. Well defined indicators to measure progress within a country would allow for multi-country comparisons using the concept of score card. Subsequent follow-up assessments would be able to build off the elements by identifying areas of progress. Since the mapping of key EOA/OA actors in Eastern Africa has already been completed, time and cost savings in follow-up assessments would be expected. There is also less risk of subjectivity with in-country assessments, as opposed to multi-country comparisons. Even with a new consulting team, any changes to the scoring would warrant justification (i.e., as a result of an improved policy step), thus ensuring a measure of some data consistency. In the future, it will be useful to support time-series life cycle assessment studies to demonstrate the evolution of EOA/OA, and resourced demands.

There are a number of factors which make the ecological organic agriculture policy formulation process more challenging. These include the lack of performance management within many developing countries; the lack of indicators at the political level or that monitor the equality of service provision, the quality of service or the efficacy of service delivery; the lack of institutional mechanisms; and the fact that political research is not routinely carried out in the five countries, just on demand, and therefore there is a lack of ongoing evaluation. Tanzania, for example, in many ways provides an 'ideal' case example where research and local technical expertise often contribute to improving policy frameworks within the context of representative polity.

◆ **Challenges in Multi-Country Studies and Network Referrals**

Due to lack of documentation in policy processes, network referral or "snowballing" was the main method of data collection employed in this study. Despite the fact that this method assisted in mapping out the interaction among stakeholders and their influence, it has a major drawback in the time it takes to complete the questionnaires. Many of the interviewees are extremely busy people with tight schedules and little patience for long interviews. Nevertheless, time was shortened by gathering as much information as possible before the interview.

One hindrance encountered during the study was the short time available for conducting field interviews during phase one of the study as well as by the limited availability of knowledgeable people to interview especially for EOA/OA policy formulation processes. Since this requires one to capture the chronological events from the time the policy identification process started, those likely to recall what happened in the early stages are already in retirement and were difficult to find. Indeed, some have already retreated to rural homes or taken up other assignments. This means there is a significant loss of EOA/OA-related institutional memory, as the successors in these institutions were not very knowledgeable about the EOA/OA policy story from the very beginning. Academic /research capabilities is a critical context issue for evidence-based policy. Similarly, civil society plays a part in most societal systems – it is where people become familiar and interested in public issues and how rules tend to affect the articulation of interests from society. Key issues here include the need to create conducive conditions under which citizens can express their opinions, organize themselves for collective action and compete for influence in policy making. There is also much evidence to suggest civil society is an important link between research and policy.

As a whole, the study visits where possible and key informant interviews were central and successful, enabling a deeper exploration of EOA/OA policy formulation and legislation processes among other issues. It allowed a critical assessment of the subsector's role in the intensification of production against the backdrop of the compounding issues, such as the biotechnology push in Eastern Africa, diminishing size of landholdings, and an aggressive push for conventional farming agricultural settings in the five countries. In general, the study schedule was tight, and it is recommended that future studies should allow more time for further interaction with the stakeholders and data /report consolidation.

6. CONCLUSIONS & RECOMMENDATIONS

This report is a contribution towards understanding how the EOA/OA policy formulation process in Ethiopia, Kenya, Rwanda, Tanzania and Uganda is shaped by the policy makers and key stakeholders within it, and assesses the influence of contextual factors, the attitudes and perceptions of actors involved in EOA/OA related initiatives, the distribution of power and influence between them, and the ultimate consequences for EOA/OA on the ground among other factors. The study approach aimed at the collation of views of a cross-section of key informants, allowing for a wider range of views to be captured and ultimately for opportunities and challenges in thought and practice to be identified. Based on the study findings and case studies, several recommendations have been offered.

6.1 Opportunities, Challenges and Recommendations

Throughout the study, several issues have been raised that offer themselves as either challenges or opportunities for the development of the EOA/OA sub-sector in Eastern Africa. These are summarized using the using a 5-point Likert scale (1 = very strong 2 = strong, 3 = somewhat strong, 4 = substantial and 5 = modest) in the following strengths, weaknesses, threats, and challenges tables:

Challenges Inhibiting the Growth of EOA/OA Sub-sector

Top Challenges/Weaknesses	Rank
Limited material capacity and human resources: e.g., Limited access or no extension services for EOA/OA.	1
Limited knowledge and technical expertise in Eastern Africa of best practice and management for organic practices (soil fertility, weed control, pest or disease control).	2
Weak participation of small holder farmers and youth. Need to be involved in policy, advocacy and governance of EOA/OA initiatives.	3
New entrants have limited knowledge about organic practices. No policy or EOA guidelines are available.	4
Limited access to certified organic inputs (e.g., certified organic inputs available in developed countries but not in Eastern Africa). Conventional producers sometimes disingenuously market their products as organic.	5

Threats Inhibiting Access to Markets

Top Threats	Rank
No finalized national organic agriculture policies in the four out of five countries to guide the sub-sector	1
Kilimohai organic brand not well defined or well understood by consumers.	1
Policy incoherence/lack of intersecting, insufficient data available on organic production e.g., price guides limit the understanding of the market and opportunities.	2
Certification costs involved in conversion are prohibitive to many, primarily because of the required length of the conversion period. The EU regulations of 2 years for annual crops and 3 years for perennial crops.	3
Availability of organic inputs is questionable (such as organic seeds, etc.). Also, atypical incentives and subsidies available for conventional farmers. e.g., fertilizers, hybrid seeds.	4
Exaggerated pricing affects the image of organic products. Affordability of organic products for consumers.	5

Strengths of the EOA/OA Sub-sector

Top Strengths	Rank
There are well documented environmental, health and economic benefits of organic production.	1
Organic goals fit in with SDGs, CAADP, AU policy priorities etc.	2
Organic is one of the fastest growing agricultural sectors in the world.	3
High-value sector with potential for high profitability.	4
Health-conscious citizenry and millennials are buying organic.	5

Opportunities for the Eastern African Organic Sub- sector

Top Opportunities	Rank
Maintain strong standards nationally, including the integrity of the system. Many supply outlets are willing to stock and market organic products. However, the unavailability of a reliable supply of high-quality products is a bottleneck.	1
Improve the EOA/OA brand marketing campaign and key messages to increase demand for organic production in Eastern Africa.	2
Improve the enforcement of the organic standards in collaboration with relevant government agencies (e.g., time of service delivery, fine and/or institution of legal procedures in case of fraudulent claims).	3
Develop organic livestock-related products like yoghurt or milk, agronomic tools, and extension services to attract new farmers and retain current ones.	4
Support the development, awareness, and advocacy efforts on the local and national levels. e.g., Media, Symposia	5

6.2 Recommendations for Future Focus and Action

The following recommendations are made with all the above in mind but do not necessarily express consensus between all stakeholders.

Standardization of Terminology

Throughout the study, it was noted that the term “organic agriculture” is what the key informants and numerous authors widely used instead of “ecological organic agriculture”. Both terms have been adopted in the report in an attempt to accurately reflect the voices of the respondents and to also illustrate need of adopting one term that all stakeholders embrace. It is imperative that either both terms are used in the region simultaneously or one is agreed on in reference to this subsector. It should be noted that all the draft policies talk of organic agriculture and have omitted the word “ecological.”

Encouraging better use of evidence in policy formulation by increasing the pull for evidence and facilitating better evidence use

1. Encourage the publication of the evidence base for EOA related policy decisions
2. Encourage departmental spending bids to provide a supporting evidence base
3. Submit government analysis (such as forecasting models) to external expert scrutiny
4. Provide open access to information – leading to more informed citizens and EOA initiatives

5. Encourage better collaboration across internal analytical services (e.g., researchers, statisticians and agro-economists) and co-locate policymakers and internal analysts
6. Integrate analytical staff at all stages of the policy development process
7. Link R&D strategies to departmental business plans
8. Cast external researchers more as partners than as contractors/consultants
9. Second more agriculture trained university staff into government
10. Train stakeholders in evidence use. Institutional bridges need to be built which facilitate greater sustained interaction between researchers and research users.

Promoting Change at the Systems Level

To account for the differences in development stage of the organic farming sector in Ethiopia, Kenya, Rwanda, Tanzania and Uganda institutional framework and social capital and to produce applicable policy innovation, bottom-up approaches to policy design are necessary. When addressing organic farming policy, the main objective must be to involve all national stakeholders and policy makers in identifying the parameters that could guide the further development of organic farming policy. The success of good policies depends as much on successfully formulating and implementing the change process as it also does on having a good technical solution. It is also about institutional change that is large scale and lasting.

In Eastern Africa, the technical, managerial, and intellectual leadership skills critical for the agricultural sector growth are either limited or lacking. As such, the proposed interventions and corresponding recommendations can be organized according to the following anticipated results:

1. Market-driven expansion of the sector targeting domestic, regional and international markets. There is a dire need for improved capacity among key institutions to achieve their mandates in developing and managing national ecological organic agricultural programs.
2. Mobilizing the needed financial and technical resources and the development and promotion of the contributions of organic agriculture to the environment.
3. Increasing awareness and capacity on all levels from production to consumption, including institutions, support organizations and research.
4. Relevant government policies to support the development of the sector and ensuring enhanced capacity to manage policy formulation, implementation and reform nationally and across Africa. Focus on endogenous human, scientific and technological development.
5. Strengthening coordination and communication among all actors in the sector. More inclusive development and implementation of EOA/OA related policies and programs through greater engagement of key actors in each country. For example, establish and develop gender sensitive EOA/OA knowledge at the community and national levels.

Pricing and Creating Demand

Pricing should reflect the additional costs of an organic operational with a reasonable premium and should not take advantage of the infancy stage of the sector. East African Organic Products Standard” (EAOPS) and certifying bodies like TanCert could take a lead in this case by helping to set standards and also.

- ✓ Create an EOA brand and vibrant “Buy Ecological Organic Products” awareness, advocacy, and marketing campaigns as a way to promote the benefits of buying ecological organically grown foods.
- ✓ Expand and improve branding and labeling programs and provide consumer education programs to help consumers identify ecological organic products at the time of purchase.
- ✓ Encourage public institutions to purchase ecologically organically grown foods.
- ✓ Establish pilot programs in training/capacity building institutions.
- ✓ Involve Faith based organizations (FBOs) and churches as they are known around the world to support and work together with promoters of EOA/OA. The positive human and social development that EOA/OA can contribute is recognized by many religious leaders to be in accordance with their religious faiths.

Production

Development projects in organic farming should promote the development of the local markets by working on both the supply and demand side of the market. Awareness campaigns of the conditions set by the organic outlets should be made and circulated among all potential suppliers to be discussed for collaborative action among the organic sector promoters to develop a programme, to strengthen farmer organizations on marketing aspects. The main organic supply outlets should also be invited to local trade fairs and meetings with farmers groups in an effort to:

1. Increase production of ecological organically grown foods, improve agricultural infrastructure including agricultural shows/fairs, irrigation systems, and distribution systems/facilities.
2. Support an ecological organic agriculture program/ scheme that provides public lands at reasonable cost and long-term tenure to farmers to do large-scale organic farming.
3. Support funding scheme to repair and maintain irrigation systems in the country as these systems could provide water at low cost to EOA/OA farmers.
4. Encourage a variety of distribution systems to move goods to the marketplace. Nationally, introduction of direct consumer sales, farmers’ markets, community-supported agriculture organizations, and farm-to-school programs is imperative.
5. Support multi-functional food hub facilities or food incubator facilities to handle aggregation, processing, treatment, and distribution of ecological organic products.
6. To build the agricultural workforce, introduce a national initiative which provides workforce development services for the agricultural and related industries.

7. East African Community should adopt the ‘Kilimohai’ organic product standard, as the official standard for cross border trade.
8. Turning to local and regional markets within Africa, the AU should take the institutional lead in promoting and developing continental strategies for EOA/OA.
9. In particular, smallholder participation could be facilitated by formation of producer groups and adoption of participatory guarantee systems in place of more costly third-party certification.
10. The development of official standards in Africa is needed and should take account of international norms, notably the CODEX Alimentarius Commission Guidelines for the production, processing, labelling and marketing of organically produced foods which serve as the international standard.
11. Policy advisors need to be more familiar with not only the sector, but also the players, the target group, their partners and opponents, as well as the incentives and disincentives for policy formulation.

Policy and Organizational Support

National organic agriculture policies that are comprehensive enough to ensure that the required political, technical and financial assistance needed to develop the subsector is made available. The priority areas requiring support from key stakeholders including governments and donors/development partners should be articulated e.g.

1. Introduce an EOA/OA staffed unit of the Ministry of Agriculture to track progress toward EOA/OA initiatives and measures including policies in the country.
2. There is a need for better networking among EOA/OA practitioners and other stakeholders to improve the exchange of information and strengthen policy advocacy.
3. Introduce legislation to establish a national Ecological Organic Agricultural Development and Food Security Program. This proposed Agricultural Development and Food Security Program would help to coordinate and direct efforts to address food self-sufficiency.
4. Finalize EOA/OA policies in each country and address agricultural policies that could discourage organic agriculture, such as input subsidies for harmful chemical pesticides.
5. Goals and strategies as expressed in the SDGs regarding potential contributions towards EOA/OA as well as challenges should be targeted and tackled.
6. The 2030 Agenda for Sustainable Development (SDGs) provides a supportive policy environment to promote EOA/OA and sustainable food systems. Adoption of the Sustainable Development Goals (SDGs), which universally apply to all countries, will mobilize efforts to end all forms of poverty, fight inequalities, and tackle climate change.
7. A regional organic policy should also be developed and mainstreamed to ensure a harmonized approach in Africa. Regional policies or frameworks, if implemented with a greater EOA/OA emphasis, can support the promotion of EOA/OA farming systems.

For example.

- The AU Guiding Principles on Large-Scale Land Based Investments places tenure rights of smallholder farmers at the center.
- The African Regional Nutrition Strategy (2016-2025) promotes diverse diets.
- To fulfill the Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods objective to end hunger by 2025 and enhance resilience of livelihoods and production systems to climate variability, 10% or more of agricultural spending must be targeted towards addressing the holistic needs of smallholder farmers.

6.3 Conclusion

The performance and effectiveness of key policy formulation processes are often conditioned by organizational and individual incentives and capacity, which are greatly influenced by the organizational or institutional landscape, country context, and broader enabling environments.

As it is, EOA/OA is very knowledge-intensive and capacity building is needed at all levels. Increased field extension capacity in Ethiopia, Kenya, Rwanda, Tanzania and Uganda in the organic field to educate the farmers and certification support was an expressed need. Well-designed external support to the capacity development systems and to relevant organizations is important in embracing agricultural changes. For example, the use of Vocational or Farmer Field School-style trainings would give learners the chance to integrate their own indigenous knowledge into the EOA/OA practices and develop context-specific solutions to the challenges they face. Incentives are inherent to individuals' preferences and needs and influenced by the nature of institutions at different levels (country, sector, systems, organization, or department level). Politically, incentives are a highly visible gesture to the populace, as well as potentially also being an instrument of patronage.

Yet perhaps the greatest attraction lies in the apparent simplicity of a single measure, an EOA/OA subsidy, to meet a wide range of economic, social and political objectives. There are many links and common interests between agriculture, health, food production, and environmental care, and these links should be collaborated. EOA/OA success stories should be illumed for farmers, consumers, women, youth and Africans as a whole.

A variety of natural, environmental, medicinal, healthy/organic products are available in Ethiopia, Kenya, Rwanda, Tanzania and Uganda. However, ready supply is irregular, most packaging/labelling requires improvement, very few products are certified, are heavily dependent on foreign inputs and only small quantities of products are available in the domestic markets. A deliberate promotional effort on the importance, use, and availability of organic products is required. In this way the organic market in Ethiopia, Kenya, Rwanda, Tanzania and Uganda can be developed. This should be done before stimulating production. Actors such as the Government, promoting organizations and farmers' organizations should work together.

The starting point ought to be information dissemination of what is currently available, e.g., in trade fairs, radio, television, etc. Consumers and major outlets who asked for samples should be informed about promotional efforts such as trade fair to give them an opportunity to meet farmer's representatives.

All EOA/OA stakeholders should endeavor to (1) employ credible and inclusive policymaking and planning, (2) allocate adequate and predictable resources, (3) offer effective and demand-driven services and (4) establish enforceable regulations. Outcomes of these processes will have to be worked together to produce desired impact. These collective functions of the sub-sector must also be guided by the strategic direction and measurable targets broadly shared among the key actors and organizations.

Gender balance at the policy making level, especially in public institutions, is critical to ensure that public decisions and policies affecting sociocultural conditions, access to resources and distribution of power in society take into consideration the different needs and realities faced by the full diversity of women and men (UNCTAD, 2008). Gender impact assessments (GIAs) are one tool for gender mainstreaming that policymakers could use to assess the impact that EOA/OA legislation or policies may have on women and men, according to set gender-relevant criteria. Creating awareness and understanding among policy makers of the potentially different effects of policy choices on men and women is significant to inclusive legislation and policy formulation in various domains.

External checks and balances in the form of stakeholder feedback and other related external pressures are likely to elicit demand-side accountability and are important structures in EOA/OA influencing behavior when grounded with a credible incentive system. Incentives can be in the form of monetary or nonmonetary benefits of a particular decision or action.

Another related issue is culture, which represents the collection of traditions, values, policies, beliefs and attitudes that constitute a pervasive context for everything we do and think in an institution. Specifically, each culture type is characterized by a particular set of shared beliefs, a style of leadership, a set of shared values that act as a bond or glue for members, and strategic emphases in pursuit of effectiveness. Leadership and management provide strategic direction and visioning for the organization and guide its staff toward desired results and performance. This calls for more studies on the multifaceted mix of institutional and individual factors that influence EOA/OA policy formulation and adoption in Eastern Africa.

Increased government support for EOA/OA will likely ameliorate many of the institutional barriers that limit EOA/OA policy formulation processes. Indeed, a well-organized and highly motivated sector, with common goals and a common analysis of the current situation, obstacles, and opportunities, and policy formulating strategies with clear division of roles and functions, would be a strong positive force at all policy formulation levels.

Stakeholder inclusivity and involvement is extremely crucial for the relevance of the decisions in EOA/OA policy formulation, coordination, and planning initiatives. Some stakeholders acknowledge that, despite the public benefits of EOA/OA, the lack of government support combined with the particularities of the EOA/OA adoption process often suppress the diffusion of the EOA/OA innovation in Eastern Africa. With a few exceptions, EOA/OA has grown through the sector's own efforts, with governments playing very little or no role in the early development process.

The significant challenges to democratic and effective EOA/OA policy formulation in the five Eastern Africa countries can be summarized in two broad categories: systemic issues and procedural issues. In the case of systemic issues, the findings revealed a number of underlying pervasive factors that shape the interactions of actors and the decisions they make that go beyond the institutions and key actors to impact the wider socioeconomic and political context in which they operate. Chief among these is the issue of political self-interest in state agencies.

On procedural issues, a lack of inclusive space for non-state stakeholders, a lack of commitment to EOA/OA policy mainstreaming effort, and shortfalls in adequate enforcement of relevant laws and regulations loom large. As several actors especially in the agriculture sectors transition with time, it will be interesting to see how the EOA/OA policy formulation processes are altered and reshaped to meet the new demands imposed by new realities, key EOA/OA stakeholders, population growth and other development challenges in the coming years.

In focusing more narrowly on one key process in the agriculture sector, namely, the EOA/OA policy formulation process, it is clear that certain important characteristics are required to achieve positive impacts that include being inclusive, evidence-based, supported by implementation and monitoring capacity, and endorsement with strong political commitment. Within the framework of institutional analysis and development, the action area of focus is the national policymaking and planning process, as it involves multiple processes including creating knowledge to inform stakeholders. It is a vehicle for communicating and dialoguing based on evidence-based information; participating with various stakeholders; advocating and imploring for one's own preferences and interests; designing, writing, and communicating proposed changes to stakeholders; applying and enforcing the policy changes; and evaluating and monitoring the progress and impacts. The question about characteristics of a successful EOA policy measure proved to be rather difficult as it was designed to get the maximum attention and concentration of the key informants. Their input together with the best practices in terms of organic farming policies would have been a crucial input for the recommendation of this study.

Unfortunately, due to the lack of examples from African countries, but also lack of knowledge on foreign cases, this question has not yielded many contributions to this topic. However, from the answers given, we can identify some characteristics of successful policies to promote organic farming.

The success of EOA according to some experts will not come from enforcing conventional agriculture or GMOs, but rather from promoting it as a better and healthier alternative. Other measures which will contribute to the increase of conversion to EOA, according to the experts are better regulatory controls on the chemical residues, agricultural inputs and even punitive fiscal measures to limit the use of certain level of chemicals.

Moving on into the next phase of the EOA/OA policy formulation processes, documents that eventually emerge to form the basis for national EOA/OA policies and planning activities must be critically evaluated and finalized in order to provide an operational framework, insights or possible consequences that may arise from implementing the formulated EOA/OA policy down the line. From a broad policy perspective, we can conclude that EOA/OA offers many benefits and could be an important part of a suite of strategies to improve the sustainability and equity in Ethiopia, Kenya, Rwanda, Tanzania and Uganda.

6.3 Proposed Next Steps

As articulated in the previous sections, the country assessments were rapid and meant to reveal where individual countries are in terms of their national organic policy formulation processes and in which area(s) if any, they are most likely to need support to fast track or improve the legislation and policy formulation process of EOA/OA. Through the NOAMs, the views of a wide range of stakeholders were adequately represented in the design of the project. Accordingly, this study should be viewed as a first step in a review and report process that involves policy formulation processes in multiple countries and with different key EOA/OA stakeholders. This study recommends selected further action items that can be conducted in partnership between Biovision Africa Trust and the study's stakeholders among others. In the design of similar projects in future, it is recommended that the following should be availed or taken into consideration:

- I. **Baseline Information:** This is most useful for benchmarking performance indicators, capacities of the implementation partners, NOAMs' monitoring and evaluation systems and appropriate policy formulation entry and implementation strategy. The evaluation of EOA/OA efforts in the agricultural sectors in Ethiopia, Kenya, Rwanda, Tanzania and Uganda is imperative as it will provide acumens that include the effectiveness of trainings proffered. Existing studies on EOA/OA are often based on a few key informant interviews or authors' observations without a priori set on variables, indicators, or outcome pathways being assessed. A systematic assessment utilizing approved family of measures and indicators especially of the EOA/OA capacity landscape in the five countries and the constraints and opportunities for the key actors and organizations is clearly needed.

- 2. Information and Awareness Raising Activities Linked to the Standards and the Conformity Assessment System:** A conformity assessment is a term used to describe steps taken by both producers or manufacturers and other parties to evaluate whether products, processes, systems, or personnel adhere to the requirements identified in a specified standard. Conformity assessment activities such as testing, certification, and accreditation are closely associated with standards and provide the consumer or end user with a measure of confidence in the products and services being purchased. For this reason, conformity assessments are critically important aspect of conducting EOA business in the global marketplace. Also, although the production and dissemination of relevant materials and organization of conferences and workshops the project have increased the awareness about the benefits of organic products in Ethiopia, Kenya, Rwanda, Tanzania and Uganda, awareness raising activities linked to the standards and the conformity assessment system is still needed. There is need to establish and support Africa-wide platform that will facilitate exchange of information including best practices.
- 3. Establishment of Country EOA/OA Policy Formulation Frameworks:** A strategy for organic agriculture policy development should be prepared at national and regional levels including mainstreaming of organic agriculture in national and regional CAADP Compacts. It is also recommended that more efforts be put on advocacy and lobbying at the high levels of policy development. Based on the country assessments key country policy formulation frameworks and time frames would need to be agreed on by stakeholders and updated accordingly.
- 4. Regional Trade Development Creation:** The use of EAOPS that could lead to increased cross border trade need to be emphasized in the five countries. NOAMS, in collaboration with their national governments should regularly collect disaggregated data on trade in organic products between countries in the region. The potential of ecological organic agriculture is underestimated, it is not considered as being able to respond to the food security challenges but also the National Organic Movement is not strong enough to influence decisions in the EOA legislation and policy development.
- 5. Monitoring and Documentation of the Sector in Ethiopia, Kenya Rwanda, Tanzania and Uganda:** There is a lack of an elaborate monitoring and evaluation system within the NOAM. Significant efforts should be made to gather and document information through case studies, consumers' surveys, documentaries, video production and establishment of up-to-date project websites with current data. Effective EOA/OA policies must be comprehensive and based on actions in different areas such as infrastructure investment, and economic policy measures, for instance on trade, taxation, social sectors, regulations, training and the effectiveness of institutions. The Ministry of Agriculture cannot address all these components alone. EOA/OA policies must therefore be allocated to various administrations and stakeholders according to responsibilities, and to constituencies at different geographical levels according to their competencies.

It is crucial that strategies be devised for optimal arrangements for greater linkages, communication, and information flow among key players in the agricultural sector locally, nationally, and regionally. It will be important to know what institutional rigidities and capacity gaps foster or hinder such linkages and information flow.

- 6. Capacity/Competency:** Building capacity should be based on regular needs assessment of the needs of key stakeholders, particularly as the organic agriculture sub-sector grows and expands; taking into account the economic viability of each country's requirements is critical. This will inform government human resource reform processes and enlighten future investments and support by key partners in both short-term training and masters and doctoral degree programs needed to energize and manage the EOA/OA agricultural processes in Eastern Africa. Another long-term strategic approach is the introduction of organic farming in school education/curricula. Government institutions, the private sector actors and donors can support open days visits to model organic farms in each country.
- 7. Evidence based policy formulation:** One possible way of achieving the increased use of evidence is by getting policymakers to 'own' evidence and therefore gain commitment and buy-in at appropriate levels. In central government this usually means, getting Ministers and senior policy officials to sign up to the ownership of a project and the evidence that goes to support it. Importantly this involves making a commitment to use findings whether or not they support the project, and the option to continue with the policy if the evidence reveals that it is ineffective. However, it is important to note that this is most likely to occur in organizational structures which are open and inclusive.

Evidently, policy formulation success in the EOA/OA realm is hinged on the qualities of the policies themselves – for example, in the case of a national sustainability policy, efficient incentives, transparency of measures, and consistent sustainability goals in all policy fields, as well as proper regulatory systems, can all be seen as factors necessary for success. Effective leadership and a sense of shared responsibility with all stakeholders are critical. The issue of capacity links back to the previous recommendations as well, where in many cases state agencies that lack capacity would need to seek resources and support from the wider community and non-state actors. The culture of resource control and authority, reticence in sharing information, and conflicts of interest between state and non-state actors is a major impediment to the realization of cooperative EOA/OA policy formulation efforts and would need to be addressed.

More recently researchers have turned their attention to the role of organic farming in the rural economy and specifically, the potential for organic farming to contribute to rural development. Thus, any policy formulation and legislation measures which aim is to promote ecological organic agriculture development, would also promote sustainable development of Ethiopia, Kenya, Rwanda, Tanzania and Uganda.

It is frequently argued that organic farming can promote employment in rural areas and that it can also contribute to rural development, for instance, through the provision of environmental services that under-pin rural tourism.

Given the wide-ranging implications of these claims, it is not surprising that sometimes organic farming is presented as a panacea for the problems facing the food and farming sector. Equally, it is not surprising that it can stimulate just as vociferous 'anti-organic' feeling that sees in organics a rejection of the agricultural science that has led to such remarkable growths in yields and productivity in the last fifty years. Besides these, the wider context and social system needs to be conducive to formulating, receiving and implementing the policy – that is to say, the goals of policy should not surpass existing local capacity to fulfill them. For instance, even if policies were to operate efficiently, they cannot be considered user-friendly if they confer benefits on limited segments of society while marginalizing other constituencies. The challenge is therefore one of striking a balance between effectiveness, efficiency, sustainability and equity considerations. Political goodwill, capacity development, research and public awareness is key to boosting adoption of ecological organic agriculture in Eastern Africa.

Discussion and Conclusion

The findings for this study were based on opinions and experiences of key informants, rather than on empirical data. However, high levels of agreement among the different key informants suggest reliability of the findings. The views and opinions of the key informants may not be representative of all experts in EOA more broadly. Many barriers remain both in material terms and in the policy realm. EOA/OA promotion requires concerted action from multiple actors, but perhaps most notably from governments themselves – and from non-state actors who can work as advocates of EOA/OA.

Policy making is a core activity for all governments. Yet, despite improvements made in the agricultural sector, The EOA movement is dissatisfied with the way the EOA policy legislation and formulation has evolved –and significant underlying weaknesses remain. The analysis suggests that EOA policy formulation attempts have delivered only limited gains because they failed to take account of the real world of policy making: the pressures and incentives experienced by various players, including ministers. Moreover, many existing models of policy making are increasingly inappropriate in a world of poor resources, lack of goodwill and complex policy problems.

In the face of these challenges among others, we need to give a more realistic account of what good policy making should look like in Eastern Africa – and then ensure the surrounding system increases its resilience to the inevitable pressures to depart from good practice. The recommendations aim to drive changes further and faster into the EOA policy legislation and formulation processes.

The starting point is that there are certain fundamentals of good EOA policy making which need to be observed at some point in the policy process:

- a. Clarity on goals
- b. Open and evidence-based idea generation
- c. Rigorous policy design
- d. Responsive external engagement
- e. Thorough appraisal
- f. Accountabilities and clarity on the role of central government and key stakeholders
- g. Establishment of effective mechanisms for feedback and evaluation.

These fundamentals draw on elements of current policy making models, but place additional emphasis on policy design and clear roles and accountabilities. They need to be seen alongside the need to ensure long-term affordability and effective prioritization of EOA policy goals. Each respective government ought to set out how it plans to uphold the policy fundamentals in a statement of EOA policy making practice, signed by the agriculture secretary of state/ permanent secretary. In Eastern Africa, agriculture seems to be, in many aspects, organic by default. From the strategic viewpoint of the importance of having an EOA policy, Eastern Africa's competitiveness can be further attenuated if policymakers will take into consideration factors like small size of land per capita which does not allow for agricultural intensification but ideally match the smaller quantities required by the organic sector. Competitiveness from neighboring regions can be enhanced by producing quality and price friendly organic products. The value added through conversion may become an incentive for many farmers who may have abandoned this way of life.

What is striking about the current systems in each country is that no one – in departments or at the center of government – has responsibility for ensuring that the system responds effectively to EOA priorities.

This study proposes a series of measures to change this situation:

- a. The appointment within each department of a 'EOA Policy Director or Coordinator', who would report directly to the permanent secretary, work closely with private offices, and act as the departmental Head of the Policy Profession. They would coordinate policy work in the department: in particular they would plan, commission and challenge internal policy work on behalf of ministers, review the current 'stock' of policy, and develop the department's policy capacity. EOA Policy Directors/Coordinators would also ensure that ministers are adequately engaged in the policy process.
- b. An extension of existing Accounting Officers responsibilities to cover due policy process, based on the policy fundamentals outlined above.
- c. Streamlined 'policy assessments' to replace existing impact assessments and business cases. These assessments would be available for public scrutiny, and officials would be personally accountable to departmental select committees for their quality.

- d. A greater role for the center in overseeing the quality of policy making (rather than just skills and capabilities) through the creation of a senior Head of Policy Effectiveness, who will also ensure rigorous and independent evaluation of government policies including EOA, and commission lessons learned exercises for major failures of policy process.

In closing, there is no single ‘best way’ of facilitating policy legislation and formulation. To compare policy formulation processes and even more, to assess the transferability of “good practices”, it is essential to understand the specific national environment behind these processes and policy practices. As said by one key informant, the challenge is not to copy the best performers, but to define our own original EOA policy, taking into account specific strengths, weaknesses, priorities and cultural and institutional traditions. This supposes a broad political debate among stakeholders. The Eastern Africa governments have shown some willingness to support EOA. Except for Uganda, the other four governments (Ethiopia, Kenya, Rwanda and Tanzania), have not fully analyzed this sector and have no explicit action plans on what kind of policy measures to enact and use for supporting it.

Against this background, the study findings reported here are an analysis of the processes that create policy from a general perspective as an essential component of understanding how a policy is shaped and was the contention of this assessment. The real strength of an EOA/OA policy is that it combines and integrates solutions to many of the pressing problems in the agriculture sector. Still, for EOA/OA policies, the general framework in each country needs to be right/understood from the commencement.

The findings are indicative of the directions and motivations of the legislative and policy formulation processes in Eastern Africa. Understanding how and why governments create and adopt their agricultural policies is essential for any fruitful policy dialogue. That said, rapid development of special and separate policies for ecological organic agriculture may not be expected in the next few years in these four countries: Ethiopia, Kenya, Rwanda and Tanzania. Policymakers need to do more to convince their citizenry that they are working to improve their lives and creating opportunities for all. Apart from Uganda, the other four countries in the study namely, Ethiopia, Kenya, Rwanda and Tanzania seem to be reluctant to single out ecological organic agriculture as a standalone policy, but rather treat it and promote it within the general agricultural sector policies. Overall, having an EOA/OA policy by itself should not be seen as a cure-all that solves the challenges currently facing the EOA/OA sub-sector. Nevertheless, having one would be a great attainment.

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APPENDICES

APPENDIX I: GLOSSARY OF TERMINOLOGY

Conceptual Framework: A diagram that identifies and illustrates the relationships between all relevant systemic, organizational, individual, or other salient factors that may influence program/project operation and the successful achievement of program or project goal.

Gender equality: As defined by the United Nations, gender equality refers to the equal rights, responsibilities and opportunities of women and men, and girls and boys.

Legislation: The process of making a law. Before an item of legislation becomes law it may be known as a bill and may be broadly referred to as "legislation", while it remains under consideration to distinguish it from other business. Legislation can have many purposes: to regulate, to authorize, to outlaw, to provide (e.g., funds).

Logic Model: A diagram that identifies and illustrates the linear relationships flowing from program inputs, processes, outputs, and outcomes. Inputs or resources affect Processes or activities which produce immediate results or outputs, ultimately leading to longer term or broader results, or outcomes.

Non-State Actors: A wide range of entities that are non-governmental in nature. The range includes intergovernmental organizations, civil society organizations, think tanks and private enterprises, among others. Such organizations are not established by an Act of Parliament. The term is sometimes used interchangeably with non-governmental organizations, civil society organizations, and non-institutional actors. They are sometimes broadly referred to as external stakeholders.

Policy: A proposed course of action by an individual or organization in an effort to reach a goal or achieve an objective.

Policy Actors: Persons and organizations who participate in the policy process.

Policy Cycle: Stages in a policy process. The common policy cycle includes agenda setting, policy formulation/adoption/implementation, and monitoring and evaluation.

Policy Formulation: Development of effective and acceptable courses of action to address what has been placed on policy agenda.

Public Policy: The plan of action that the government pursues in an effort to solve public problems. Public policy is within the jurisdiction of state government or its agents.

Policy Network: An extra-formal interaction that occurs among individuals and organizations that have an interest in a particular policy issue.

State Actors: The state is synonymous with government. State Actors are institutions and individuals appointed by the government into the public service and who the government authorizes to act in policy issues on its behalf. This category is sometimes known as the bureaucracy. In Eastern Africa, state actors are referred to as internal actors and comprise government ministries, departments, and agencies.

APPENDIX 2: KEY INFORMANTS LIST

A. ETHIOPIA

Name of Key Informant	Category
Dr. Solomie Jebessa	Practitioner /Researcher
Solomon Kebede	Capacity Building/Practitioner
Dr. Sara Tewelde Berhan	Capacity Building/Researcher/Think Tank/ Practitioner
Birara Melese	Policymaker
Tigist Bekele	Farmers Association/Beneficiary
Sewnet Mulushoa	Consumer
Dr. Melese Damtie	Legal/Policy Practitioner
Frew Tekabe	Donor/Development Partner
Dr. Ayele Hegena	Policymaker
Mulat Abate	Policymaker
Assefa Mulugeta	Policymaker

B. KENYA

Name of Key Informant	Category
Wanjiru Kamau	Lobbyist/Practitioner
Dennis Andeyo	Marketing/Consumer
Lysa Monroe	EOA Product Consumer
Humphrey Kamau	EOA Farmer/Beneficiary
Timothy Njeru	Donor/Development Partner
John Njoroge	Practitioner/Capacity Building
Ammi Ben Israel	Consumer/Product Distributor
Stanley Kinyanjui	Capacity Building/Practitioner
Dr. Anne Muriuki	Research/Capacity Building/ Practitioner
Kinyua Kamaru	Policymaker/ Policy Author
Anne Chele	Donor/Development Partner/Policy Representative

C. RWANDA

Name & Contact Information	Organization
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Jean-Marie Irakabaho	Practitioner -Capacity Building/Researcher/Think Tank
Steven Niyonzima	Practitioner -Capacity Building/Researcher/Think Tank
Sindikubwabo Dieudonne	Farmers Association/Beneficiary
Fina Kayisanabo	Donor/Development Partner/Policy Representative
Innocent Bisangwa	Policymaker
Dr. Charles Karangwa	Policymaker
Pascal Rushimuka	Policymaker
Dr. Guillaume Nyagatare	Practitioner-Capacity Building/Researcher/Think Tank
Leonard Seburikoko	Consumer

D. TANZANIA

Name of Key Informant	Category
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Prof. Sibuga K.P	Practitioner- Capacity Building/Researcher/Think Tank/
Prof. Agnes Nyomora	Practitioner- Capacity Building/Researcher/Think Tank
Twalib Njohole	Policymaker
Beatus Malema	Policymaker
Simon Manyangalazi	EOA Farmer/Beneficiary
George Ilankunda	Practitioner- Researcher/ Think Tank
Louise Rusimbi	Consumer/ Product Distributor/Marketer
Pamela Baraka	Donor/Development Partner/Policy Representative
Semali Kisamo,	Donor/Development Partner/Policy Representative

E. UGANDA

Name of Key Informant	Category
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Drake Rukundo	Practitioner/Policy Governance
Josephine Akia Luyimbazi	Practitioner- Researcher/ Think Tank
Marilyn Kabalere	Practitioner- Researcher/ Think Tank
Jascent Nsaaba	Consumer
Dr. Sarah Naikoba	Policymaker
Jane Nalunga	Practitioner- Researcher/ Think Tank
Dr. Fred Kabi	Practitioner-Capacity Building/Think Tank/Researcher
Charles Opiyo	Donor/Development Partner
Jack Tumwine	Farmer/Beneficiary
Mr. Abdul Karim	EOA Manufacturer/Marketer

APPENDIX 3: COUNTRY CASE STUDIES

In this section the agriculture policy formulation experiences from the case study countries are conversed in more detail. In them, there are many occurrences that are useful for the EOA/OA sub-sector to learn from and be inspired by. But there are also key challenges. The driving forces and actions of the agriculture sectors in Ethiopia, Kenya, Rwanda, Tanzania and Uganda are related to multifaceted situations: not only to the policy environment and the economic conditions, but also to the political, social, cultural, and environmental context, and therefore some of the measures or strategies outlines should be emulated with some judiciousness.



COUNTRY I CASE STUDY: ETHIOPIA

Overview

Ethiopia has one of Africa's fastest growing economies, with growth averaging over 10% per year. It is a landlocked country situated in the Horn of Africa. It shares frontiers with Eritrea to the north, Djibouti to the northeast, Somalia to the east, Kenya to the south, and Sudan to the west. Ethiopia covers an area of 1,133,380 km², measuring about 1,200 km from north to south and approximately 1,600 km from east to west. 85% of Ethiopia's population lives in rural areas and is engaged in agricultural production. It is endowed with significant environmental and natural resources to increase agricultural productivity. However, agriculture in Ethiopia is characterized by low production and productivity, and inability to provide adequate food for the population as well as raw materials for export and the growing industry. Numerous environmental, physical and institutional factors are contributing to low productivity among which weak extension service delivery, crop and livestock diseases, soil and environmental degradation, inadequate coordination, and lack of institutions that provide adequate and quality services to the smallholder farmers are some of them. The Government of Ethiopia's (GoE) commitment to country-led development programs and exceeding the Comprehensive Africa Agriculture Development Program's (CAADP) investment and growth targets, along with the development of the new Agricultural Growth Program (AGP) provides a unique and promising opportunity to implement a transformative food security strategy aligned with an Ethiopian-owned and comprehensive plan and strategically coordinated with a range of actors.

EOA/OA in Ethiopia

In 2003, the Ethiopian government formed a team to come up with organic agriculture law and regulations to describe how organic products would be defined as part of the government's new commitment to supporting the development of organic agriculture. The Organic Agriculture System Proclamation (Proclamation No.488/2006) was issued, signed into law, and was approved by the Ethiopian Parliament on 8 March 2006.

This made it possible for Ethiopia to access new markets. In 2007 the Ethiopian Association of Organic Agriculture was formed by 12 NGOs who directly and indirectly supported the organic sector development in terms of training, funding, and advocacy. These NGOs included the Institute for Sustainable Development (ISD) in the Tigray Project and Save the Children of the UK, which initiated the first organically based integrated pest management programme in SNNP, Amhara, and Tigray regions, and private companies for the development of Ethiopian organic sector.

Organic Certification

Organic certification has taken place since the mid-1990s. The certification was started by France-based international company Ecocert. Growth prospects are bright due to the fact that an estimated 80% of Ethiopian coffee produced is de facto organic without being certified as such. Currently there are four international organizations offering certification in Ethiopia: IMO, Ceres, BCS, and Control Union. BCS has currently certified most of the organic producers in the country. Almost all certified organic production in Ethiopia is certified according to the EU regulation 2092/9. Increasingly, as producers target more distant markets, production is also certified according to the US National Organic Program (NOP), or according to Japan Agriculture Standards (JAS). There are no local certification bodies or laboratory facilities capable of conducting residue analyses on Ethiopian crops and products. But, since 2007, an initiative has taken off from the Ethiopian Association of Organic Agriculture (EAOA) to lobby the government for the establishment of an Ethiopian local certification company and laboratory facility under the Ethiopian Standard and Quality Authority (ESQA) to help the smallholder farmers who are intimidated by the high cost of international certification. This could also help them in local market development. Other certification systems in Ethiopia include HACCAP Fair Trade, Rainforest Alliance, Eurocap, and ISO (Rieks & Edwards, 2007).

Key organic products

Ethiopia has certified organic coffee, honey, sesame, pulses, teff, pineapple, bananas, incense (myrrh), linseed, spices and herbs. Coffee export comprises 65% of foreign exchange for the country. Further export crops are oil seeds and pulses such as Niger seeds, sesame, linseeds, sunflower seeds, groundnuts, rapeseeds, castor oil seeds, pumpkin seeds, haricot beans, pea-beans, horse beans, chickpeas and lentils. Floriculture also has significant share in the export market. The export of honey is currently low, but there is great potential.

According to the data provided by the Ministry of Agriculture, Germany is Ethiopia's primary export partner, accounting for 11-13% of the export volume. Other major partners are Saudi Arabia, Netherlands, United States, Switzerland, and Italy.

The status of EOA/OA legislation and policy

As of October 2018, Ethiopia does not have an explicit draft national organic agriculture policy (NOAP) document; the existing Ethiopia's Agriculture Sector Policy and Investment Framework (2010-2020) does not mention EOA/OA.

Agricultural Policy Process and Its Implementation in Ethiopia

The agricultural policy of the Imperial regime had a feudal/capitalist orientation, while the agricultural policy of the Derg regime had a socialist footing. The current government regime has a mixed type agricultural policy (Demese, 2004). In the era of the Imperial regime, the three Five-Year Plans (FYPs), were formulated from the top down and included exclusive involvement of the elites and clergy (Amdissa 2007). The MoA, in the Derg regime, developed the Peasant Agricultural Development Extension Programme (PADEP), which focused on improving extension service and redirecting agricultural resources to the peasant sector. The current government has adopted and used the ADLI strategy since 1995 as an overall development strategy for the country. Concomitant with the ADLI, a series of Poverty Reduction Strategy Papers (PRSP) were launched, including the Sustainable Development and Poverty Reduction Programme (SDPRP) (2001/2002–2004/2005), the Plan for Accelerated and Sustained Development to End Poverty (PASDEP) (2004/2005–2009/2010), and the current Growth and Transformation Plan (GTP) (2009/2010–2014/2015). In all these programs and policies, poverty reduction is the central theme, and agriculture is given top priority, particularly in regard to smallholder farmers.

Policy formation and implementation in Ethiopia is shaped by the ideology and political strategy of the ruling party, the influence of key actors (including the international community), and capacity constraints at all levels of government (Amdissa 2007). Policy priorities are led by the government's visions, like ADLI, which emphasize poverty reduction, food security, commercialization, and export promotion. Therefore, used the Agricultural Development Led Industrialization (ADLI), the principal pillar of SDPRP, PASDEP, and GTP, has been the government's flagship policy since the early 1990s. ADLI is based on the assumption that in a capital-scarce country like Ethiopia, labor-intensive agriculture is the engine of growth and poverty reduction, and agricultural development is the first stage in a multi-step process that will ultimately lead to industrial development. According to government guidelines, policymaking in Ethiopia is a systematic, technocratic, consultative, and evidence-based process. Policy formulation is claimed to pass through the following process: (1) problems are identified; (2) evidence and analysis of these problems is amassed; (3) priorities are set on the basis of this evidence, and draft policies are formulated; (4) key stakeholders (including regional decision-makers) are then consulted to test the suitability and practicality of proposed policy; (5) the policy is then reviewed and reformulated; and (6) the policy is implemented.

Policy formulation in Ethiopia is initiated and coordinated by the Ethiopian MoFED, especially for macro-level policies and strategies, whereas sector-specific policies are initiated by sectoral ministries, such as MoA initiating seed and land policies. There exists a possibility that donors such as the World Bank (WB), Food and Agriculture Organization (FAO), and certain research institutions may influence the policy formulation process through their reports and research outputs, though there is currently no concrete evidence confirming this. This study attempts to examine the policy process in Ethiopia by assessing the process followed while formulating the main country-level policies and strategies.

Key Actors, Policymakers, and Policy Influencers in Ethiopia

According to policy documents (such as PASDEP and GTP) and interviews of key informants, particularly government officials, the policy process in Ethiopia is claimed to follow a systematic and consultative process. On the other hand, other key informants—mainly from the Ethiopian Institute for Agricultural Research (EIAR), Addis Ababa University (AAU), Haramaya University (HU), the Agricultural Economic Society of Ethiopia (AESE), and the Ethiopian Economic Association (EEA) and literature (for example, Amdissa 2007; Future Agricultures 2010)—report that the policy process in Ethiopia is less systematic, less consultative, and more top-down. The formation of PASDEP, for instance, has been criticized by outside observers and local administrators (that is, Zone, Woreda, and Kebele administration) for lacking consultation with key stakeholders, implementers, and the community. The same is true for PRSDP: the processes have largely been driven from above with limited consultation (Amdissa 2007). The form that participation takes in Ethiopia is often more directive and top-down than genuinely participatory. As a result, the policymaking process remains top-down and directive; key policies tend to be initiated and formed at the very heart of government by the PM's office, deputy prime minister, and leading organs and figures in the government. These policies then tend to be presented to stakeholders at the national and regional level for confirmation rather than genuine consultation and are seldom modified once presented. The tendency is also to roll out policies all at once rather than to pilot them. To push its development agenda, the government often pursues a campaign approach to implement policies and programs.

After 2011, the policy process in Ethiopia exhibits a different shape mainly due to the catalytic role that is being played by the Ethiopian Agricultural Transformation Agency (ATA). ATA's major role is to support the achievement of the country's agriculture sector targets set in the GTP, the CAADP, the Policy and Investment Framework (PIF), and other key government strategies.

To this end, ATA facilitates identification of systemic bottlenecks in the agriculture sector and reviews, develops, and refines national strategies/policies and solutions to address them. Recently, for instance, ATA and the MoA worked with various domestic and international institutions to revise seed proclamation that was approved by the Parliament in 2013 and facilitated the advance of a comprehensive agricultural cooperative sector development strategy. Hence, the policy process in Ethiopia should capitalize on the current initiation by the ATA and MoA to be able to achieve the goals of the GTP and CAADP.

Policymakers

The Prime Minister (PM), on behalf of the Council of Ministers, is the locus of both policy formulation and implementation. Article 74:3 and 5 of the Constitution states “he shall follow up and ensure the implantation of laws, policies, directives and other decisions adopted by the House of Peoples’ Representatives.” In practice, the PM and his key cabinet members and leading officials within the ruling party take the initiative in making major policies. As chief executive, the PM is also the ultimate focal point of many of the lobbying efforts by policy influencers (that is, bilateral and multilateral donors). The PM has chief economic advisors who provide him with strategic and economic advice. The PM also relies on his staff at his office as a reliable source of policies and political strategies. These staff members are carefully selected for trustworthiness and may be moved to sensitive positions such as the Electoral Board if required (Amdissa 2007). According to the Ethiopian Constitution (Article 55:10), the House of People’s Representatives (HPR) “shall approve general policies and strategies of economic, social and [developmental], and fiscal and monetary policy of the country...” This confirms the general view that Parliament seldom initiates legislation. Rather, its role is largely confined to “rubber stamping,” modifying, or occasionally delaying legislation handed down to it from the executive.

Policy Influencers

Research organizations (such as EIAR, EDRI, and IFPRI), professional institutions (such as EEA and AESE), and universities play a major role in influencing policymaking in the Ethiopian agriculture sector. A range of nongovernment actors also attempt to influence policy, either as individuals or as elements of civil society, the private sector, the international financial institutions, or the donor community. However, key informants have reported that influencing policymaking in the Ethiopian agriculture sector is a rarely observed phenomenon that is difficult to verify. Research and professional institutions (EIAR, EEA, FSS, and IFPRI) produce and disseminate rigorous research outputs, and researchers and policymakers engage in policy debates in many workshops and conferences but results of these engagements are not well coordinated or structured and are hardly reflected in policy design and formulation. Some argue that the policy process and outcome in Ethiopia are by no means straightforward, as the policy debates are often limited to a narrow-predetermined agenda, and the government has a stronghold over the policy process and virtually claims ownership of the outcome. Nevertheless, encouraging developments have been observed recently as key sources, particularly from research institutions, have reported that their inputs are being incorporated into the development of recent strategies such as in the PIF’s annual review.

Organizations Involved in the Ethiopian Agricultural Policy Process

In Ethiopia, different organizations are involved in the formulation, implementation, and analysis of agriculture-related and food security-related policies and strategies. Table 3 depicts organizations involved in the agricultural policy process and their roles and responsibilities.

The Ethiopian Ministry of Finance and Economic Development (MoFED) is mandated with initiating country-level strategies and policies, such as the ADLI strategy, the recent 5-year GTP, and others. Furthermore, MoFED is responsible for establishing systems for follow-up and review of the national development plan with respective budget disbursement. The Ethiopian MoA, on the other hand, has a role and responsibility to initiate sector-specific policies, such as land policy, seed policy, and others, in addition to its major role of advancing overall national agricultural development strategies and coordinating their implementation.

Research centers and universities are also key sources of rigorous policy analysis reports, despite having a low dissemination rate. The Parliament and the prime minister’s (PM’s) office are mainly responsible for making, ratifying, and following implementation of policies. The role of multilateral and bilateral international organization donors in the agricultural sector and specifically in the policy process ranges from providing technical expert advice to funding and assisting in the implementation of specific investment strategies.

Table 3: Organizations and Institutions Involved in the Policy Process and Their Roles

Organization	Major roles
Ministry of Finance and Economic Development (MoFED)	Initiate policies Establish a system for the preparation and implementation of national development plan Prepare the federal government budget and make disbursements
Ministry of Agriculture (MoA)	Responsible for developing and refining the overall national agricultural development strategies and policies for the country Coordination of agricultural research activities
Central Statistics Agency of Ethiopia	Provide major data on agricultural production and productivity
NGOs and Research universities (for example, Ethiopian Institute of Agricultural Research, Ethiopian Development Research Institute)	Provide policy advice and expertise Conduct rigorous research and policy analysis
Parliament, Prime Minister’s office	Ratify, monitor, and oversee policies, in addition to making some policies Follow up the implementation of the policies
Donors (for example, World Bank, Food and Agriculture Organization, United Nations Development Programme)	Funding Technical support

Source: Author based on key stakeholder consultations

Support for organic farmers through government research and extension has been non-existent to date. An important development over the past five years is the establishment of Quality Management training and procedures.

An Example of a Successful Agriculture Policy: Plan for Accelerated and Sustained Development to End Poverty (PASDEP)

The drafting of PASDEP began in mid-2005 with a series of consultative meetings in each of Ethiopia's regions. At the national level, the MoFED coordinated the process. A steering committee with members from key ministries was set up to give direction to the process. A technical committee with members from the planning departments of the respective ministries was also established.

The steering committee was co-chaired by the state minister for agriculture and rural development and the state minister for finance and economic development. The technical committee was chaired by the head of economic planning at MoFED.

In principle, civil society networks, NGOs, Bureaus of Agriculture, and other relevant bodies should engage with local-level institutions and individuals to set the policy agenda and forward it to the national level. In practice, however, limited regional consultations were carried out, the results of which are reported in the document. The business community and civil society also had the opportunity to comment on the draft report, and some contentious issues were on the table for discussion as a result. Whether these issues were resolved before the Parliament approved the policy document is a major concern. Although the process of the policy formulation, as described below, was followed well and seemed structured, it is arguable whether enough consultations, discussions, and debate were allowed before the policy document was approved. The PASDEP was fundamentally a desktop policy document with considerable use of secondary data largely from government sources.

As a result, the PASDEP, perhaps even more than its predecessor, is viewed as a national-level document produced in Addis Ababa by a relatively small network of players, centered on the MoFED and closely monitored and overseen by the PM's office and associated advisors (Amdissa 2007). The WB, in particular, and its advice networks in EDRI, IFPRI, and elsewhere played a role in PRSP processes. As the most influential player in the donor community, the WB provides a networking/brokering role, with the Development Assistance Group (DAG) composed of a range of "development partners." This group is in constant engagement with the government to examine and refine in particular the policy matrix. A major emphasis was placed on economic growth to be achieved, mainly through greater commercialization of agriculture and a strong push from the private sector.

Preparing the PASDEP: Consultative Process

The timeline below shows the process of PASDEP formulation as reported by MoFED.

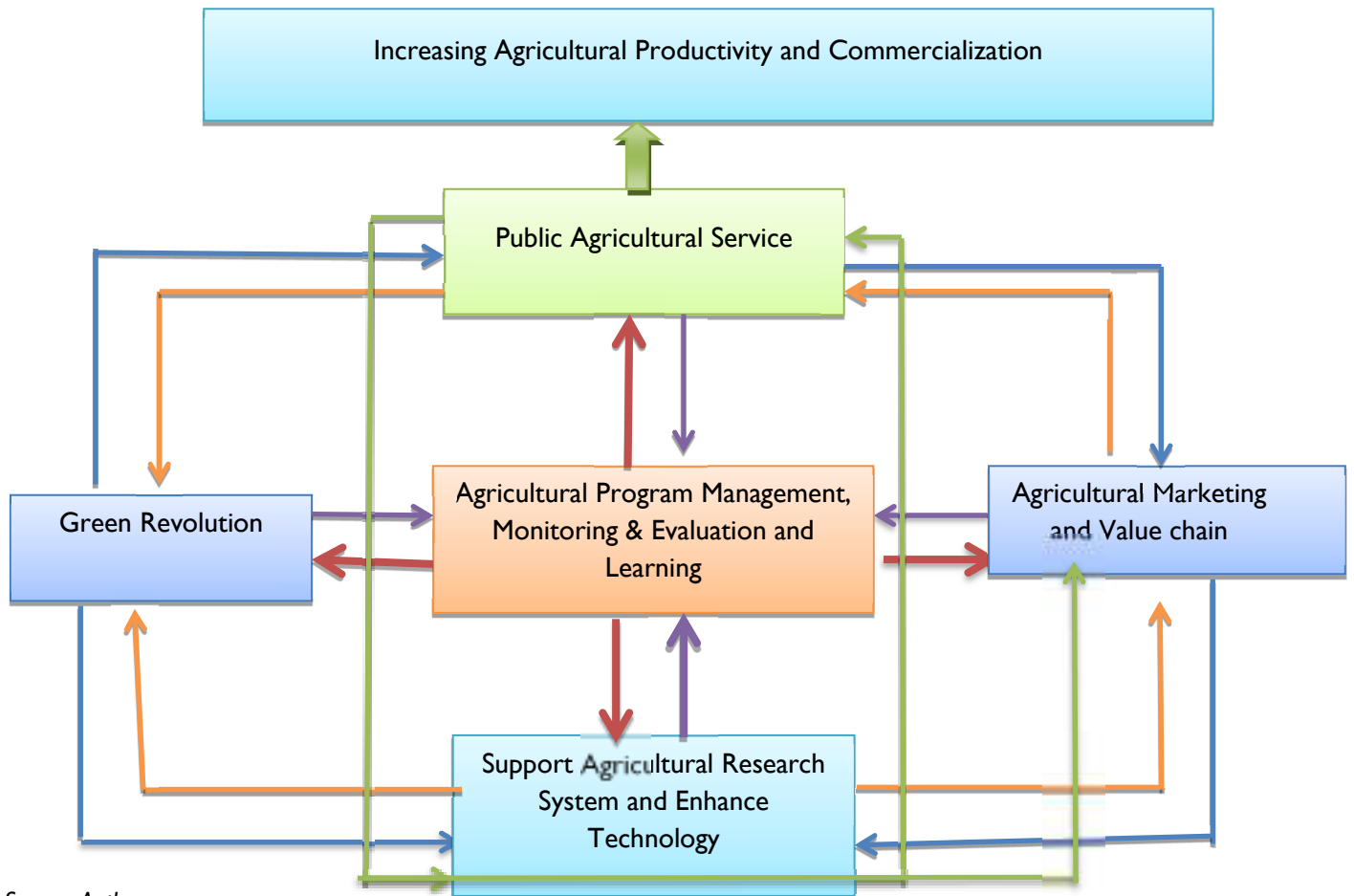
- ✓ **June–July 2005:** Nationwide consultations across all regional states and city administrations to review the experience under SDPRP and identify people’s priorities for the PASDEP.
- ✓ **July–August 2005:** Consultative sessions conducted and written input obtained from civil society organizations, the business community (private sector), and donor partners on issues and priorities that should be reflected in the PASDEP.
- ✓ **July–September 2005:** Overall strategic directions debated and agreed within the government; government ministries prepare sector strategies/feedback.
- ✓ **December 2005:** First draft of strategy circulated nationally for review, discussions, and suggestions/feedback.
- ✓ **January 2006:** Strategy reviewed by the full cabinet (regional government presidents and all line ministries), chaired by His Excellency the Prime Minister, and endorsed to agree on ownership and ensure consistency. Extensive written comments and suggestions also received from civil society organizations and development partners.
- ✓ **February 2006:** Further consultative sessions held with the Poverty Action Network in Ethiopia (PANE), an umbrella group formed by civil society organizations specifically to participate/interact with the government in the PASDEP/PRSP process and with the Christian Relief and Development Association (CRDA), the umbrella group of NGOs operating in Ethiopia, the Chambers of Commerce (both Addis Ababa and Ethiopian Chamber of Commerce), and the DAG of aid donors to review and discuss their reactions to the draft.
- ✓ **March–April 2006:** The draft Plan/Strategy document redrafted to take into account comments and feedback.
- ✓ **May 2006:** Amharic version of strategy debated for 2 full weeks by Parliament.
- ✓ **May–August 2006:** The draft Plan/Strategy document revised and finalized on the basis of comments and reactions.
- ✓ **September 2006:** Final PASDEP prepared.

Source: PASDEP, MoFED (2010).

Other Agriculture Related Policies/Frameworks in Ethiopia

- ◆ **1997- Environmental Policy-** The overall policy goal is stated as to enhance the health and quality of life of all Ethiopians and to promote sustainable social and economic development through sound management and utilization of natural, human-made, and cultural resources and the natural, human-made and cultural resources and the environment as a whole.
- ◆ **2000-2005- (preceded PASDEP): Sustainable Development and Poverty Reduction Program (SDPRP).** The main purpose was Built on ADLI focusing on rapid overall development; liberation from dependency; and promotion of a market economy. Deepened decentralization and introduced more extension packages, micro-finance, autonomous cooperatives, better marketing infrastructure.
- ◆ **Phase 1:2009-2013, Phase 2: 2014-2018, Phases 3: 2019-2023- Ethiopian Strategic Investment Framework (ESIF) for Sustainable Land Management (SLM) (“National SLM Framework”).** This is a framework to guide SLM planning and investments to address the connections between poverty and land degradation. Development objective: improve livelihoods & economic well-being of farmers, herders, forest users by scaling up SLM. Environment objective: rebuild natural capital assets.

Underlying logic model upon which legislation and policies focused on agriculture are formulated



Source: Author

Opportunities and challenges developing and implementing policies in ecological organic agriculture in the selected countries

In some discussions with certain organizations, key sources stressed the following points concerning leadership, particularly in government policymaking:

- Political leaders are slow to respond. For example, the government takes a long time to debate, adopt, or make policy adjustments.
- There is a lack of incentive and encouragement for CSOs to participate in the policy process; rather, the government considers most CSOs (particularly CSOs engaged in research and think tanks) as a threat with a hidden agenda of partisan opposition.

Therefore, the government has rarely created room for policy dialogue with CSOs and has ignored input from them. Additionally, there is lack of a clear and firm recognition of the role of civil society within the policy development and monitoring process (Debebe 2012). The case is worse for agriculture sector-specific policies such as seed policy, land policy, and cooperative policy, in which the participation of CSOs in the process is very limited.

Recently, however, there has been an encouraging change in government responsiveness in the policy process. The formulation of the GTP, for example, has helped increase CSOs' participation in the process considerably. CSOs like PANE and CCRDA were engaged in creating awareness regarding the country development strategies, such as PASDEP and GTP, by organizing consultation workshops at all levels of the country and by publishing and disseminating popular transcripts in different local languages (Debebe 2012). Recent developments have seen more room allotted for stakeholders' involvement in the agricultural policy process; although encouraged by this improvement, key informants emphasized that there is still a lot to be done. Thus, the partnership among the government, CSOs, and other stakeholders needs to be strengthened to create a policy environment conducive to stakeholders' contributions to the country's agricultural policy process and investment planning.

At this point in time, there is an urgent need for caucusing so that the EOA/OA-related developments within the agriculture sector are given more attention by senior policymakers. It would be very useful if senior policymakers were persuaded to begin the first draft of an EOA/OA policy in Ethiopia.

Lessons Learned

It is essential that the organic industry speaks with one voice in communicating with the government and understand and respect the EOA/OA objectives in Ethiopia. Policy proposals need to emphasize how EOA/OA can contribute to sustainable rural development. The potential for EOA/OA to help the country deal with low and erratic rainfall (through combining organic farming and rainwater harvesting), and with the development of a vibrant small commercial organic agricultural sector (through skills training, development of quality management systems, and the establishment of secondary co-operatives to support the emerging primary co-operatives), needs to be illustrated with practical projects. A number of successful pilot projects will serve to show that an EOA/OA policy is a practical proposition.

Despite these challenges, there are many opportunities to improve the performance of Ethiopia's agriculture sector that can directly impact poverty reduction, given that the vast majority of Ethiopians are engaged in agriculture and related activities. Ethiopia has a high potential for organic production, but the country is at a very low stage compared with other countries, even in Africa.

The potential needs a further developmental support to establish production, processing and trading infrastructure, as well as to increase the human capacities for organic production along the whole value chain.

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COUNTRY 2 CASE STUDY: KENYA

Overview

Agriculture is the mainstay of the Kenyan economy, directly contributing 26% of the GDP annually, and another 25% indirectly. The sector accounts for 65% of Kenya's total exports and provides more than 70% of informal employment in the rural areas. Therefore, the agricultural sector is not only the driver of Kenya's economy but also the means of livelihood for the majority of Kenyan people. However, low agricultural productivity, increasing population pressure on arable land, the encroachment of agriculture into unsuitable rangelands and wildlife areas, increased urbanization, climate change, poor soil fertility, inadequate access to financial and extension services, high unemployment rate (especially among youth), poor governance, inadequate infrastructure, and a variety of cultural challenges have combined to create Kenya's current complex poverty, malnutrition, and food security dilemma. With the current population growth rate, demand for food is projected to soon outweigh growth in productivity. Stagnant productivity combined with limited ability to expand the area under production pose critical challenges to food security.

EOA/OA in Kenya

There are no official policies for EOA/OA in Kenya, even though public interest and recognition of organic agriculture are both on the rise. The organic sector has developed to date without any explicit official government policy support. The Ministry of Agriculture has an organic desk to lead in the development of an organic policy under the department of Food Security and Early Warning Systems. The ministry's approach is to develop a policy for organic agriculture and incorporate it into other policies relating to agriculture, food security, and the environment. So far, organic agriculture has been incorporated in the Food Security Policy draft and the Soil Fertility Policy draft. The first ever organic agriculture policy is in the pipeline, drafted by Kenya Agriculture, Livestock Research Organization (KALRO) and other stakeholders. The process of drafting the organic policy began in 2009 and is in the mid-stages of completion. It is currently being deliberated on at the cabinet level before it is tabled in Parliament (Kimaru, 2013).

Organic Certification

Kledal et al (2010) state that there are five international certification bodies involved in Kenya, namely: Soil Association (UK), Ceres (USA), Encert (France), IMO (Germany) and Bio Suisse (Switzerland).

However, to minimize the cost of certification by the external certifiers, most of the certifiers use locally trained inspectors. A national certification body Encert was established in 2005 to certify for the national markets. In May 2007, the East African Organic Products Standard (EAOPS) was launched after a consultative process, which started in 2005 by harmonizing organic standards that existed in the East African region.

Together with the EAOPS, the “Kilimohai” brand was purposely developed to help promote and boost regional trade. However, a regional brand without an implementation of regional trade and organic farming policies can quickly be undermined if one of the countries allows, for example, cultivation of harmful GMO crops. Strong economic and political interest groups are at the moment lobbying for these inputs to be allowed in agriculture in Kenya and Uganda respectively.

Key organic products produced in Kenya

According to the Kenya Organic Agriculture Network (KOAN), organic vegetables and fruits are produced mainly on large-scale farms and have been exported from Kenya over the past two decades. Over the years, exports have developed beyond vegetables and fruits to include other products such as essential oils, dried herbs and spices, as well as products for the cosmetic and pharmaceutical industries which are more often produced or collected by smallholders.

Present Status of the Draft of the Kenya National Organic Agriculture Policy



National Organic Agriculture Policy Process in Kenya (Kinyua Kamaru, 2013)

The National Organic Agriculture Development Policy draft is at the Cabinet level (see Figure 6) and has three more steps to go through before it is finally adopted as a policy.

It is envisioned that the EOA/OA policy needs to undergo the following remaining steps.

- I. Cabinet Memo {PS to CS} with AG inputs}. The Principal Secretary Drafts a memo to the Cabinet Secretary, who in turn forwards the memo to the Attorney General to review.
- II. Briefing of Agriculture Committee {both House (National Parliament and the Senate)}.
- III. The National Parliament {Legal} debates the proposed bill with the Senate {for devolved functions}
- IV. Last debate on any other aspects. The same is presented to the cabinet for implementation.
- V. **END** and the start of Strategy to implement the policy

The status of EOA/OA legislation and policy

At present, Kenya does not have a policy explicitly directed towards organic agriculture. However, it has recently expressed an interest in incorporating organic agriculture into Kenya's general agricultural strategy. In addition, considerations related to organic agriculture have been incorporated into the draft Food Security Policy and the draft Soil Fertility Policy (Kledal et al. 2009).

As of October 2018, a draft policy aimed at streamlining and promoting organic farming in the country is in the pipeline, after almost a decade-long wait. The draft of the organic agriculture policy developed by agricultural experts from the Ministry of Agriculture, Kenya Agricultural and Livestock Research Organization (KALRO) and Kenya Organic Agriculture Network (KOAN) is complete and ready to be deliberated upon by the Cabinet, after which it will be tabled for debate in Parliament. In a nutshell, the process of drafting/formulating the national organic agriculture policy begun in 2009 and is now complete.

Agricultural Policy Process and Its Implementation in Kenya

The Kenyan agriculture policy formulation process is meant to be participatory, involving the public from problem identification through implementation, monitoring and evaluation (M&E). There are various policies, acts and session papers that guide food production in Kenya. Since 2003, there has been much activity in an attempt to revitalize Kenyan agriculture. There are a number of actors in decision-making affecting agricultural policy whose roles are related to their control of development resources. Agriculture policies consist of government decisions that influence the level and stability of input and output prices, public investments affecting agricultural production, costs and revenues, and allocation of resources. These policies affect agriculture either directly or indirectly. Improved agricultural production has been identified as one of the overall objectives for poverty reduction in the country. The objectives of agricultural sector strategy have been increasing agricultural growth, and in turn increasing rural incomes and ensuring equitable distribution. The Ministry of Agriculture, Livestock, and Fisheries takes the lead on and involves public and stakeholder participation in a drafting policy.

This requires rigorous policy analysis, and the Ministry sometimes involves consultants from the private sector 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
Session paper, which could be taken to Parliament for approval, followed by implementation, or developed into an act of Parliament, then to the implementation stage

The Parliamentary Committees Consideration

New bills are sent to standing committees according to subject matter. For example, bills on farm subsidies generally go to the Agriculture Committee. Bills that propose tax changes would go to the House Ways and Means Committee. Since the volume of bills is so large, most bills today are sent directly to subcommittee.

Most bills—about 90%—die in committee or subcommittee, where they are pigeonholed, or simply forgotten and never discussed. If a bill survives, hearings are set up in which various experts, government officials, or lobbyists present their points of view to committee members. After the hearings, the bill is marked up, or revised, until the committee is ready to send it to the floor.

The Legislative Process

The constitution of Kenya allows the parliament to exercise its legislative mandate by passing bills. While any bill may originate in the National Assembly, bills not concerning county governments may only be considered by the National Assembly. A bill affecting county governments may originate in the National Assembly or the Senate. While a bill may be introduced by any member or committee of the relevant house, what is referred to as a “money bill” can only be introduced in the National Assembly according to specified processes.

Publication: The bill is published in the Kenya Gazette to attract public attention and encourage participation. **First Reading:** the bill is referred to the relevant committee. **Second Reading:** Members discuss the bill and the position of the “mover” (sponsor), as well as the report of the relevant committee. No specific amendments are allowed at this stage except for proposals to defer the second reading. **Committee of the Whole House:** this is the stage at which amendments are proposed and voted on. **Third Reading:** members conduct further debate on the contents of the bill. While no specific amendments are permitted at this stage, proposing a deferral of the third reading is permitted. If the bill is voted on and receives the necessary support, it is considered passed in the relevant body in which it is considered. As noted above, depending on the type of bill, it may be sent to the other house of Parliament for concurrence or to the President for his assent. Once the President signs the bill into law, it must then be published in the Kenya Gazette as an Act of Parliament within seven days.

The life of a bill from the time it is proposed until its adoption by the relevant legislative body is long and complicated. The following steps reflect an abbreviated version of the process:

1) **First Reading**

A first reading is when a bill is introduced to a legislature. Typically, the bill is assigned a tracking number and immediately assigned to a committee.

In most British-influenced legislatures (Westminster systems) such as Kenya’s, the committee consideration occurs between second and third readings.

2) **Second Reading**

A second reading is the stage of the legislative process where a draft of a bill is read a second time. In most Westminster systems, a vote is taken in the general outlines of the bill before it is sent to the designated committee.

3) **Third Reading**

A third reading is the stage of a legislative process in which a bill is read with all amendments and given final approval by the legislative body. In legislatures whose procedures are based on those of the Westminster system, the third reading occurs after the bill has been amended by the designated committee.

4) **Presidential Assent**

The granting of Presidential Assent is the formal method by which the head of the Executive arm of government completes the legislative process by formally assenting or giving his consent to an Act of Parliament.

5) **Commencement**

Quite often, an Act of Parliament may provide that it will come into effect on a date to be notified. In such cases, after the Act has received Presidential Assent, notification of the date of its coming into effect is given through a legal notice, usually by the Minister currently in charge of the matters with which the Act is concerned.

Key Actors, Policymakers, and Policy Influencers in Kenya

Several individuals, organizations and institutions are involved in the agricultural policy process in Kenya. 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 is involved in several policy processes in the five levels namely; advising drafters, reviewing drafts, conducting validation workshops, drafting the policy document, and leading the document's drafting. Their involvement has 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)

While the challenges in a draft policy or framework may be subtle, they often contribute to delays in the policy formulation 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. Additionally, about 20 regulatory bodies were governing the sector simultaneously. 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 advanced the Agriculture, Fisheries and Food Authority Act on January 17, 2014, through the 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. Various farmer lobby groups have voiced opposition to 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 or needs to be strengthened.

Agricultural Sector Coordination Unit

The Agricultural Sector Coordination Unit was established in 2005 as an inter-ministerial 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 multi-sector 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 also 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.

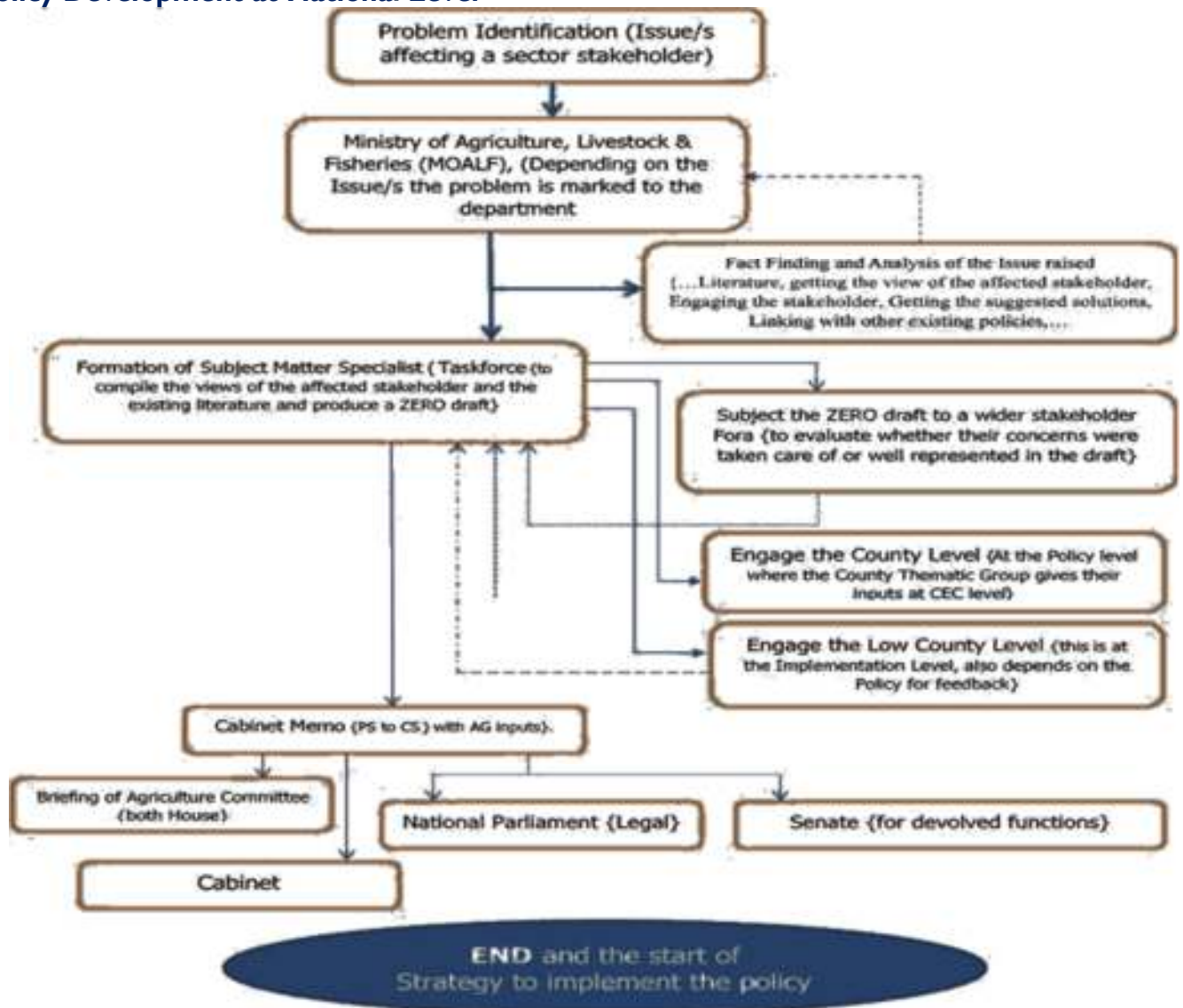
However, it is worth noting that with the new constitution and devolved government, the county coordinating units may require human, financial, and physical resources in all 47 counties.

An Example of a Successful Agriculture Policy: The Agricultural Sector Development Strategy (2010 – 2020)

In Kenya, the two Pan-African initiatives did not occur in a vacuum but rather fell into ongoing policy processes. For example, when CAADP was being endorsed by the African Heads of State in November 2002, the Government of Kenya was developing the Kenya Rural Development Strategy (KRDS) (Republic of Kenya, 2002a). The KRDS was a comprehensive policy on agriculture and rural development that was derived from the Poverty Reduction Strategy Paper (PRSP) (Republic of Kenya, 2001). At the time when Kenya volunteered to join the APRM in 2004, the Government adopted the Strategy for Revitalizing Agriculture (SRA) that constitutes the reference framework for the development of agricultural sector for the following ten years (2004-2014) (Republic of Kenya, 2004a).

In 2004, the government developed and launched the Strategy for Revitalizing Agriculture (SRA) as a follow-up and response to the Economic Recovery Strategy (ERS). The SRA set out the government's vision: To transform Kenya's agriculture into a profitable, commercially oriented, and internationally and regionally competitive economic activity that provides high quality, gainful employment to Kenyans. The SRA set the target of agricultural growth at an average annual rate of 3.1% during 2003–2007, to reach over 5% by the end of the four-year period.

Policy Development at National Level



Source: Mulinge (Unpublished: 2015)

By 2007, agricultural growth had surpassed the SRA target: it grew at an average of 5.2%, reaching a high of 6.4% in 2006. With most SRA targets achieved and a new government formed in 2008, it was necessary to revise the SRA to capture these new developments.

The new strategy is required to strategically position the agricultural sector as a key driver for delivering the 10% annual economic growth rate envisaged under the economic pillar of Vision 2030. It provides a guide for the public and private sectors' effort in overcoming development challenges facing the agricultural sector. The SRS was replaced with a new strategy, the Agricultural Sector Development Strategy (ASDS).

The Agricultural Sector Development Strategy (ASDS) is the overall national policy of agricultural sector ministries and all stakeholders in Kenya. At the national level, sector ministries and the Agricultural Sector Coordination Unit (ASCU) organize the sector's biennial national forum of stakeholders, in which problems constraining progress and ways of overcoming them, and current and future prospects are discussed. To give the forum adequate authority, the highest political authority will preside over it. At the middle level, the inter-ministerial coordination committee will be expanded to include all ministries that provide services to the agricultural sector. The committee will comprise of permanent secretaries of the lead and collaborating ministries and will be responsible for coordinating the planning of the strategy at the sector level and monitoring its implementation to ensure that its goals are achieved. Locally, ASDS will be implemented through district agricultural development committees (DADCs) made up of the sector ministries and stakeholders.

Priorities on implementation will be agreed upon at district development committees and DADCs, as well as at constituency development committees.

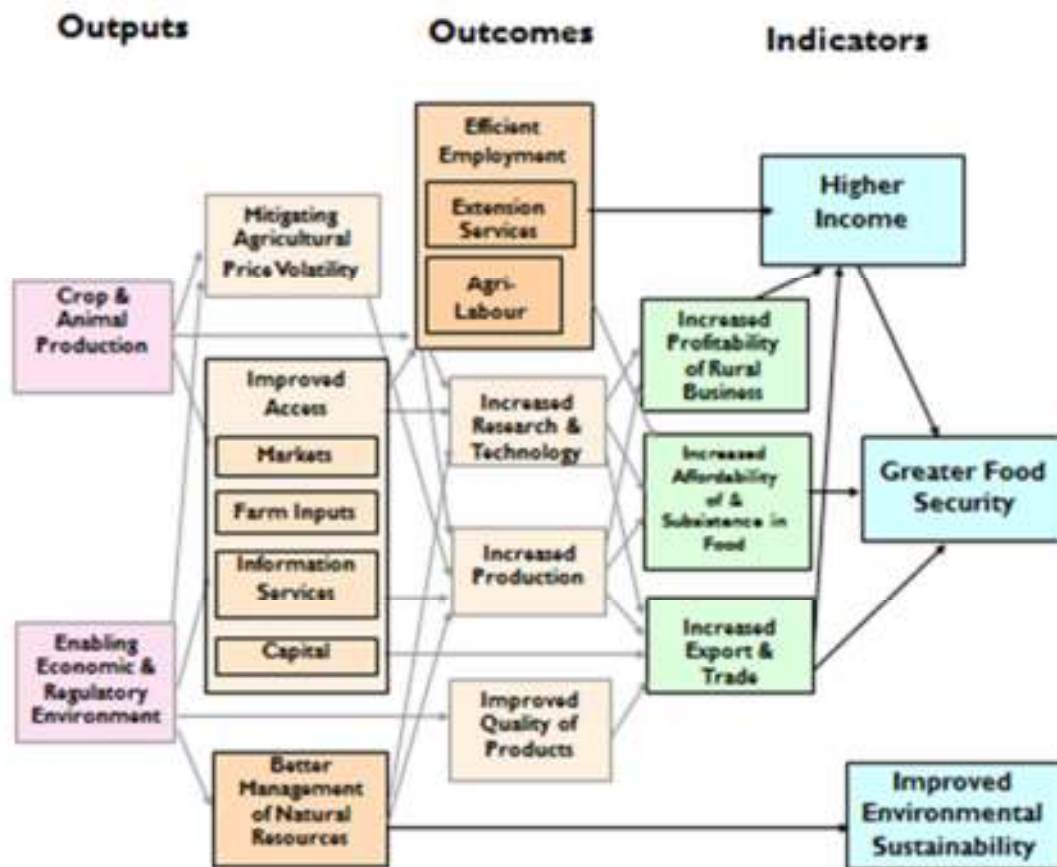
Other Agriculture Related Policies/Frameworks in Kenya

The Government of Kenya has over the years put in place several policy measures to address agriculture and food security in the country. These include:

- ✓ **Session paper no. 10 of 1965** on African socialism and its application to planning in Kenya, emphasizing eradication of poverty, disease and ignorance.
- ✓ **National food policy (session paper no. 4 of 1981)** was Kenya's first food policy and aimed to maintain broad self-sufficiency in major foodstuffs and to ensure equitable distribution of food of nutritional value to all citizens.
- ✓ **National food policy (session paper No.2 of 1994)** was Kenya's second food policy developed following the 1991-94 drought and promoted a market-driven approach to food security.
- ✓ **Kenya Rural Development Strategy (KRDS) 2002-2017** was a long-term framework outline, with a broad range of strategies for the improvement of rural Kenya over the next 15 years. It emphasized food security as the initial step towards poverty alleviation/reduction and rural development.
- ✓ **Economic Recovery Strategy (ERS) for wealth and employment creation, 2003 -2007** which focused on achieving good governance, transparency and accountability and providing a lasting solution to hunger, poverty and unemployment.

- ✓ **Strategy for Revitalizing Agriculture (SRA 2004-2014)**. Cascaded from ERS, its primary objective was to provide a framework to increase agricultural productivity, to promote investment and encourage private sector involvement in agriculture.
- ✓ **Kenya Vision 2030 was launched in 2007** to further consolidate the economic recovery momentum gained from implementation of the ERS.
- ✓ **The Agriculture Sector Development Strategy (ASDS), 2009** has been developed by the agricultural sector to align sector initiatives to Vision 2030.
- ✓ **The National Food Security and Nutrition Policy (NFSNP), 2009** addresses the need for enhanced food and nutrition security, information management systems and coordination of the roles of various ministries and agencies to achieve food security.

Underlying logic model upon which legislation and policies focused on agriculture are formulated



Source: Author

Other agricultural policy documents developed over time include;

- ✓ **The Constitution of Kenya (2010);**
- ✓ **Agricultural Sector Development Strategy (2010-2020);**
- ✓ **National Horticulture Policy, 2012; Fisheries Policy (2008);**
- ✓ **National Livestock Policy (2008);**
- ✓ **Kenya Forest Policy (2008);**
- ✓ **Cooperative Development Policy, (2008);**
- ✓ **Food and Nutrition Security Policy, (2011);** etc.

Opportunities and challenges in developing and implementing policies in ecological organic agriculture in the selected countries

Agricultural policy in Kenya revolves around the main goals of increasing productivity and income growth, especially for smallholders: enhanced food security and equity, emphasis on irrigation to introduce stability in agricultural output, commercialization and intensification of production especially among small scale farmers, appropriate and participatory policy formulation, and environmental sustainability. Some opportunities/ promising areas of EOA/OA policy infusion include the following:

- ✓ Kenya is a leader in the Eastern Africa region in both dairy and horticulture. With the largest dairy herd in East and Southern Africa and a relatively well-developed industry, Kenya is in an excellent position to meet the growing local demand for milk as well as target the regional market. Kenya's horticulture industry is an established leader among African suppliers of fresh produce to Europe. Known for their competitiveness, Kenya's producers, including women and youth, are in an excellent position to capture the emerging global demand for new EOA/OA value-added products, as well as the local and regional fresh market.
- ✓ Kenya is the regional hub for trade and finance in Eastern Africa with its dynamic private sector, and its air, sea, road, and information and communications technology (ICT) infrastructure is relatively well developed and improving. If investments in EOA/OA are availed to address quality and any blockages in key value chains from farm-level productivity, to improved access to markets, building sustainable business models, and creating a conducive enabling environment for the private sector, the country could grow its economy, address food insecurity and reduce poverty.
- ✓ In response to the CAADP, the Government of Kenya (GoK) has been building momentum around agricultural reform for several years with the creation of the ASCU that works across all agriculture-related Ministries. The combination of the GoK's well-researched ASDS, its MTIP, and a new constitution that promotes accountability has set the stage for significant progress for EOA/OA to be made at least in the next decade.

- ✓ Although Kenya's challenges may seem daunting, there are several opportunities to leverage EOA/OA. Kenya's agricultural sector employs over 75% of the workforce directly, indirectly accounts for approximately 51% of Kenya's GDP, and has the capacity for significant growth if irrigation, agricultural inputs, extension, marketing, and health/nutrition constraints can be addressed. Because the livelihoods of many Kenyan households in rural areas are based on small scale agriculture, improving agricultural productivity through EOA/OA innovations, thereby increasing farmers' incomes, is keys to achieving food security and improved nutritional status, especially for all.

Challenges Facing Agriculture in Kenya

- ✓ Kenya has not carried out a comprehensive census of agriculture since gaining independence in 1963. As a result, it has not been able to benchmark any agriculture indicators. All its agricultural indicators have been produced through estimation arising from sample surveys. This means that the reliability of key production indicators cannot be adequately verified due to lack of benchmark indicators.
To illuminate this issue, on February 6th, 2019, the Ministry of Agriculture's Cabinet Secretary, Hon. Mwangi Kiunjuri reported that lack of data on farmers is the main obstacle to accessing cheap fertilizer through the e-voucher payment system.
- ✓ Although all parts of Kenya are facing significant problems, poverty density, food production, and malnourishment vary significantly across Kenya's agro-ecological zones and within the urban areas. These high-potential zones have attracted large populations, resulting in sub-division of land, decreased productivity, and high densities of impoverished and malnourished Kenyans. Semi-arid regions produce 20% of Kenya's agricultural output, but this region offers significant potential for increases in agricultural output, if water management and harvesting, irrigation, and crop varieties can be improved upon.
- ✓ Female farmers play a key role in agriculture, whether directly through the management of farm produce or through labor. Additionally, women are responsible for 80% of paid and unpaid labor in food production, including staple crops. Their contribution to secondary crop production—such as legumes, fruits, vegetables, roots and tubers (e.g. sweet potatoes and cassava)—is even greater. Yet, women have few incentives to increase productivity due to their lack of access to income from their labor. Discriminatory beliefs and harmful sociocultural factors sometimes hamper women's ability to for example upgrade their skills and move into higher technical and supervisory positions in value chains.
- ✓ Kenya's agricultural value chains are disadvantaged by the high taxes and costs of doing business. The expense and risk of doing business in the country has slowed the growth of private sector investment in key areas, including agricultural production, storage, transportation, processing, and marketing.

Various World Bank studies identify infrastructure, transport, and non-tariff barriers (including bribery, roadblocks, frequent off-loading, and weighbridges) as the leading causes of high marketing costs in Africa.

- ✓ Regional trade is crucial to mitigating volatility, especially in staple food markets. The East African Community (EAC) and African governments have committed themselves to regional integration as a broad policy agenda thus opening up free trade areas to increase access to markets. The efforts of such regional agreements are yet to be realized.
- ✓ Due to the importance of the agriculture sector in the Kenyan economy, and motivated by the need to support the design, formulation and implementation of agricultural and rural development policies, the lack of relevant, reliable and up-to-date agricultural statistics are a major constraint both for the development of strategies and policies in the sector and for monitoring and evaluation. This observation is shared by many government departments and also development partners in Kenya.

Lessons Learned

- ◆ EOA/OA methods and technologies are well suited small farmers in Kenya, as they tend to rely on locally and naturally available materials to produce healthy, safe, and marketable products. EOA/OA is important to protecting the multifunctional nature of agriculture, and it encourages a holistic approach to farming that is more diverse and resistant to climatic stress than conventional methods. Furthermore, many smallholders in the region actually engage in organic production by default.
- ◆ The availability of reliable, consistent, comprehensive and timely agricultural data for the development of agricultural sector is critical. Credible data is required to inform the planning process, compile reliable national accounts, monitor sector performance, evaluate the impact of policies and programs, and contribute to the decision-making process. Agricultural data is required by a wide spectrum of stakeholders ranging from decision-makers in government, the private sector and academia for research and teaching, and development partners, bilateral and multilateral communities. The quality of agricultural statistics is essential in improving efficiency, production, marketing, and distribution of agricultural commodities. Agricultural statistics data users consist mainly of government ministries and departments involved in rural development, development partners, students, and researchers both inside and outside academic institutions.

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COUNTRY 3 CASE STUDY: RWANDA

Overview

The Rwandan economy remains for the foreseeable future, heavily dependent on the agricultural sector employing as it does around 90 percent of the population, providing 91 percent of the food consumed in the country, contributing 36 percent of GDP and accounting for 70 percent of revenue from exports. Rwanda has elaborate policies, strategies, and development frameworks on agriculture and rural development which focuses on food security, nutrition security, and poverty reduction. Since 2000, the food security policy has been guided by international, regional, and national commitments towards ensuring food security and poverty reduction among the rural population. The PSAT, EDPRS, and Vision 2020 are consistently aligned with the prospects of the SDGs and budgetary and growth principles of the CAADP Compact.

EOA/OA in Rwanda

The increase of agricultural productivity and production, in both crops and livestock, have been the main driver of agricultural growth in the past decades, and the successes to date need to be continuously sustained.

Organic Certification

In 2005, the Rwandan government's increasing interest in organic agriculture led it to join as an observer the first meeting of the Regional Standard Technical Working Group (RSTWG) for the development of a voluntary regional East African organic standard. One year later having joined the East African Community, Rwanda was eligible to join the RSTWG as a full member.

As an official member of the East African Community and alongside Kenya, Uganda, Tanzania and Burundi, Rwanda ratified the first regional voluntary organic standard in Africa, and the only regional organic standard in the world alongside the EU's, the "East African Organic Products Standard" (EAOPS). The EAOPS is the first standard in the world to have been developed in cooperation between voluntary organic movements and governmental National Standards Bodies. The EAOPS is also the first voluntary organic standard to be used in Rwanda.

Key organic products

Organic products in Rwanda include -apple banana, pineapple, coffee, tea, honey, gooseberry, avocado, passion fruit, mountain papaya, tree tomato, chilies and essential oils.

The status of EOA/OA legislation and policy

Even before the Maputo Declaration of 2003, Rwanda had already embraced the spirit of the Comprehensive Africa Agriculture Development Program (CAADP) through the development of a clear strategic vision, and complementary detailed implementation plans and performance accountability systems for achieving food security. CAADP ties its principles with East Africa Community (EAC) strategies for agriculture development. However, as of October 2020, Rwanda does not have an explicit national organic agriculture policy (NOAP) document.

Agricultural Policy Process and Its Implementation in Rwanda

In Rwanda, the Ministry of Agriculture and Animal Resources (MINAGRI) is the leading organization in the policy design and policy actions, monitoring and evaluation, and investment planning of the agriculture sector. Consistent with the last reform, the role of each ministry is dual. The first role is the policy design of each sector and the second is monitoring and evaluation of the policy implementation. Each sector has two bodies namely the policy design body and the policy implementation agencies. MINAGRI deals with the policy design while the agencies are established to ensure implementation of the designed policies. MINAGRI has the sole responsibility to ensure the design of agricultural policies and its line agencies (RAB and NAEB) implement these. Therefore, the linkages between MINAGRI and other policy players depend upon how policies are designed.

The sector strategy is made possible by the design of subsector strategies under the supervision of the subsector working group. In the design of sub- sector strategies all development partners are involved as they bring in their respective contributions towards the subsector strategies. These subsector strategies are also validated by the sector working group. The sector working group, in turn, is made by all development partners and agencies involved in the subsector. In addition, the sector strategies are validated by the Sector Wide Approach, which is chaired by an organization selected by all members on an annual basis.

With respect to the sector policy action, this includes all action lines of the policy implementation. Key policy actions are selected each fiscal year.

These policy actions may include the development of a missing subsector strategy that is likely to drive key sector strategies and attract more funds from development support organizations such as the African Development Bank (ADB). Currently, there are three ways in which the support organizations can support the sector: direct support to the government budget, support to the sector, and direct support to the sector such as project funds.

In addition to the above, there exist some other management and coordination mechanisms that support the policy design process related to the agriculture sector. These include the agriculture sector working group (ASWG), the Sector Wide Approach (SWAp), technical sub-groups or task forces, the Integrated Development Program Steering Committee, Joint Sector Review, and National Dialogue (Duke and Bizoza 2012).

The ASWG includes representation of each line ministry, development partners, and key stakeholders. The SWAp serves as a platform for coordinating aid, providing financial support to sustain agricultural policies and action plans, and strengthening national capacities. In the SWAp, the government is represented by The Minister of Economic Planning and Finances, The Minister of Agriculture and Animal Resources, and the minister in charge of coordinating GoR's interventions, with focus on the agriculture sector. The development partners are each represented by their authorized representatives. Technical sub-groups or task forces are established to address specific key issues and to implement key activities such as the Task Force for Irrigation and Mechanization.

The Joint Sector Review (JSR) is conducted twice a year with the ASWG, Ministry of Economic Planning and Finance, and development partners. The spring meeting deals with the targets for the coming year in reference to EDPRS while the fall meeting evaluates the performance in the previous year. There is also an Annual National Dialogue and National Retreat chaired by the president himself. These two serve as platforms to fine-tune development agendas and policies and serve as forums to measure the government's performance in a transparent manner.

To address decentralized government efforts or entities, there is a joint Action Development Forum (ADF) that coordinates, harmonizes, and ensures joint planning of development activities including agriculture related programs at the district or sub- country levels. However, these forums lack sufficient people with skills needed to make the most of the forum.

All of the above coordination and management mechanisms shape or influence policy development in the agriculture sector, among others. This organizational arrangement embodies the principle of inclusive stakeholder's participation and dialogue, which in turn paves the CAADP implementation process. The chart below portrays the above committee and technical groups in the agriculture sector.

As been noted above, the Government of Rwanda is fairly positive to the development of the organic production and MINAGRI has involved itself in:

- Awareness raising and practical terracing
- Capacity building among farmers organization and creating decentralized structures
- Support to the certification process.
- Seeds/Seedlings distribution.
- Working with Action Development Forum (ADF) and National University of Rwanda (NUR) to train local certifiers hence reduce cost of certification.

- Aggressive afforestation, agroforestry and reforestation program to increase biomass for organic production.

Key Actors, Policymakers, and Policy Influencers in Rwanda

According to policy documents and interviews of key informants, particularly government officials, the policy process in Rwanda is participatory, transparent, inclusive, and consultative. The policy development process is consistent with laws contained in the 2003 Rwanda constitution, follows basic laws, and other formal well established legal frameworks. The consultation process is done at different stages and scale depending on the magnitude of the predicted direct impact and stakeholders.

RHODA is the Rwandan Horticulture Development Authority, a department of the Ministry of Agriculture. It is the lead department responsible for developing an organic strategy for Rwanda, as well as for promoting it and coordinating the activities in support of organic farming across the various Ministries responsible for different portions of the programme (e.g. land use planning and certification) from central government through to implementation via the 30 Administrative Districts throughout Rwanda although there are no policy targets for organic area coverage.

Policymakers

MINAGRI is the leading organization in the policy design and policy actions, monitoring and evaluation, and investment planning of the agriculture sector. Consistent with the last reform, the role of each ministry is dual. The first role is the policy design of each sector and the second is monitoring and evaluation of the policy implementation. Each sector has two bodies namely the policy design body and the policy implementation agencies. MINAGRI deals with the policy design while the agencies are established to ensure implementation of the designed policies. MINAGRI has the sole responsibility to ensure the design of agricultural policies and its line agencies (RAB and NAEB) implement these. Therefore, the linkages between MINAGRI and other policy players depend upon how policies are designed.

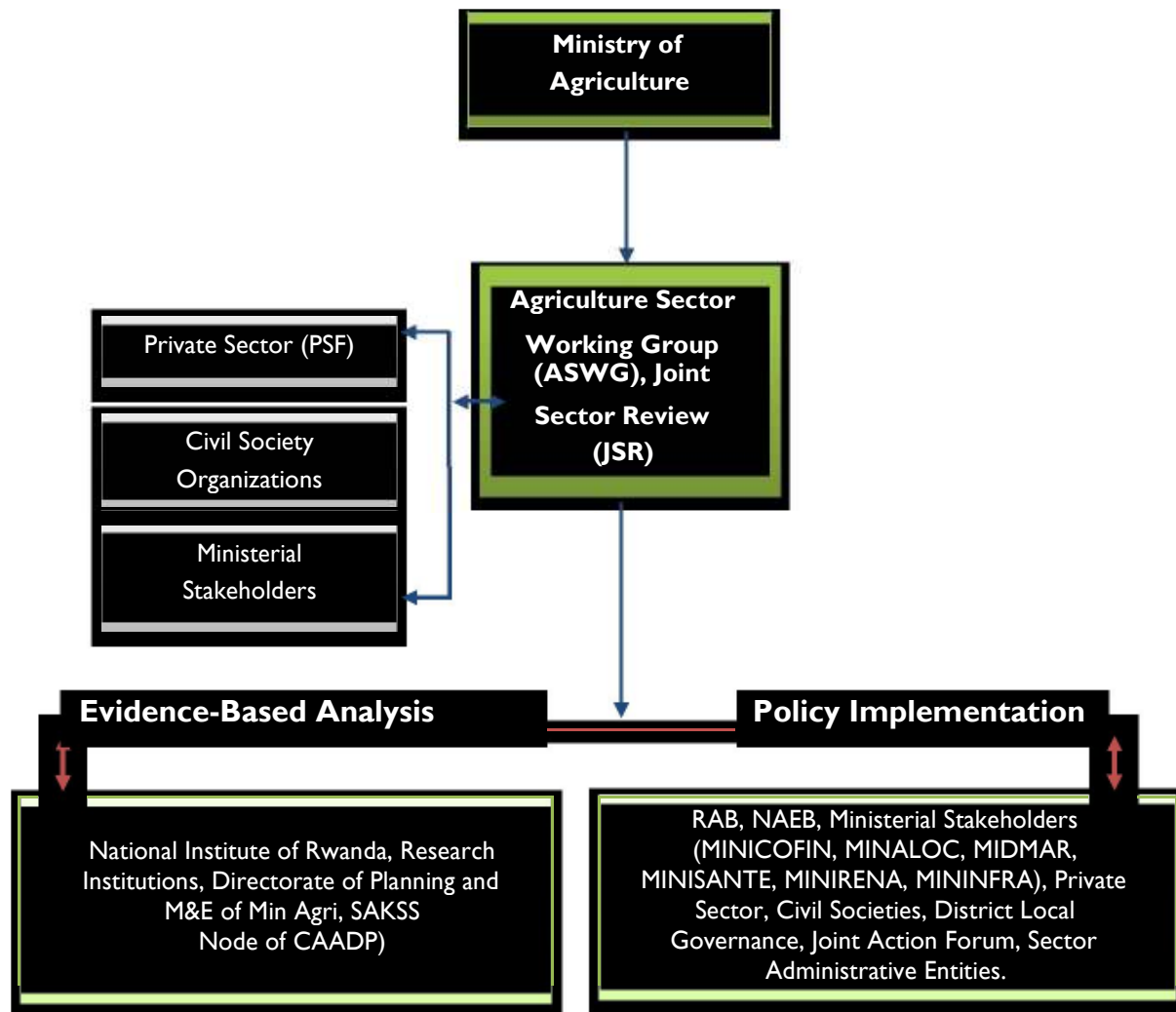
Policy Influencers

Rwanda agricultural policy is designed in line with the CAADP framework. Two levels of policy design are in place. The first level is linked to the sector policy design and the second is the sector policy action. With respect to the first level, the Ministry of Agriculture has the mandate to ensure that their staff design sector policy or they can outsource skills from any agent or organization with related competencies, as long as this is well done. For example the design of PSTA is done under MINAGRI as a sector strategy, which in turn feeds a national development strategy like EDPRS.

Organizations Involved in the Rwandan Agricultural Policy Process

According to Duke and Bizoza (2012), “the Integrated Development Program Steering Committee functions in parallel to the Sector Working Groups and operates as a harmonization/coordination body. The Committee is Chaired by the Minister of Local Government and attended by the Ministries of Agriculture, Natural Resource Management, Commerce and Industry, Infrastructure (Roads), Health, and Finance. The governors of five provinces also serve on the committee.

Organizations and Institutions Involved In the Policy Process



Source: Author

This provides the necessary platform for coordination and more importantly the opportunity for local authorities to take ownership of the process and ensure that they are on board with the programs and targets and they are responsible to implement.” Institutional responsibilities are clearly defined and consistently applied.

The plan is the country-led strategy for agricultural development, as called for by CAADP. Stakeholders support PSTA implementation through participation platforms at the national level, including the Agriculture Sector Working Group, Sector Wide Approach, and regular Joint Sector Reviews. In 2008, Rwanda drafted its second PSTA, which covers the period 2009–2012 and thus fits within the EDPRS period. This was again based on broad based consultations. The PSTA II was formulated on the basis of Vision 2020 (the national strategic vision document) goals, namely, to achieve 8–9% growth between 2009 and 2020 and to reach the Millennium Development Goals (MDGs). This is the socio-economic policy document on which all national and sector policies and strategies are derived and serves as the basis for how resources are allocated across sectors. There is room to improve the guidance on how to address areas of responsibility that intersect with a number of institutions. MINAGRI drafted its first Strategic Plan for Agricultural Transformation (PTSA) in 2004 with collaboration from key stakeholders in the agriculture sector. It began the process of bringing all stakeholders on board to support the national strategy. Support for organic farmers through government research and extension has been non-existent to date. An important development over the past five years is the establishment of Quality Management training and procedures.

An Example of a Successful Agriculture Policy: National Agricultural Policy (NAP)

The Ministry of Agriculture and Animal Resources (MINAGRI) revised and updated their National Agricultural Policy (NAP) in 2017. The policy of 2018 replaces the policy of 2004 and responds to evolving dynamics in the agricultural sector and the current policy priorities. The updated National Agriculture Policy takes into account the current situation in areas of technological advances, the increasing role devoted to the private sector in the development, regional integration and the threat of climate change.

The National Agricultural Policy 2017-2030 also responds to the changes facing agriculture and the food system nationally, regionally and globally. Under this policy, the role of government in agriculture is envisaged to fundamentally shift from making direct interventions in the sector – especially with a focus on production only – to a market enabler, thereby promoting enhanced farmer cooperation and private-sector-led development of the agro economy.

The policy seeks to build upon Rwanda’s growing reputation as supplier of high-quality, sustainably produced agri-food products, especially for the increasingly demanding consumers in Africa’s growing urban centers.

It places added emphasis on principles of resilience to changes in climate and markets and seeks to seize opportunities offered by advances in digitalization and information and communication technology (ICT), and to leverage these also for vocational-skill development and for more effective sector administration. The policy also aims to promote inclusion through mainstreaming preferential treatment for better participation of women and youth in agriculture programs and development.

The vision of the National Agricultural Policy is for Rwanda to become “a nation that enjoys food security, nutritional health and sustainable agricultural growth from a productive, green and market-led agricultural sector.” The mission is to ensure food and nutrition security, modern agribusiness technologies professionalizing farmers in terms of production, commercialization of the outputs and the creation of a competitive agriculture sector. The policy objectives are formulated according to the Malabo Declaration (2014) under the CAADP framework of the AU: 1) Increased contribution to wealth creation, 2) economic opportunities and prosperity, 3) improved food security and nutrition, and 4) increased resilience and sustainability.

Rwanda is on a transformation path from a low-income to a middle-income country. For example, between 2000 and 2016, Rwanda’s economy grew by 7.9 per cent per year on average, so that by 2016 it was more than 3.5 times larger than in 2000. In the same period, GDP per capita increased, the poverty rate fell, life expectancy at birth has increased, and youth literacy increased. In this bigger picture, the agricultural sector constitutes just over a third of the economy, it accounts for just under half of goods exports and provides employment for over two thirds of the working population. Hence, it remains the backbone for sustained economic growth, to provide quality livelihoods, and high living standards for the population.

The agricultural sector has been growing by over 5% per year since the turn of the century. However, since a growth spurt between 2008-2012, growth has decelerated in recent years. The main cause for this is stagnating crop yield gains. Livestock has seen accelerating growth over the past few years, but not sufficiently to accelerate the overall agricultural growth. The adverse effects of climate change and soil erosion are unrelentingly deteriorating the quality of agricultural land. Meanwhile, the domestic, regional, and international markets are growing rapidly. This opens opportunities for exports and selling higher value products.

However, there will be an increasing pressure for products to be commercially viable with increasing competition domestically and abroad.

All these factors call for a decisive policy agenda to mitigate the current and future strains on agriculture and position Rwanda to be food and nutrition secure as well as a supplier of high quality agriculture products. The NAP formulates a policy agenda of specific policy actions to achieve the stated objectives.

The policy actions are organized under four broad policy pillars: 1) Enabling environment and responsive institutions; 2) Technological Upgrading and Skills Development; 3) Productivity and Sustainability; 4) Inclusive Markets and Off-Farm Opportunities.

Pillar 1: Enabling Environment & Responsive Institutions. Turning the agricultural sector around will require substantial investment while public finances are getting scarce. It is therefore vital to attract investments from the private sector, driving sector toward commercialization. Greater private sector participation will require a shift in the role of the government from being a market actor to becoming a market enabler. To make this shift, the NAP presents an agenda for institutional and regulatory reforms which defines the principles of public investment, lays out a framework for attracting private investment to the agricultural sector while enhancing access to finance, and enhance responsiveness of institution

Pillar 2: Technological Upgrading and Skills Development. Technological upgrading is at the crux of productivity growth. This pillar presents a research agenda for closing Rwanda's agriculture technology and skills gap, thus making more people employable. To implement the agenda, the research capacity must be upgraded with an extension system that stimulates feedback mechanisms from the producers to ensure research and extension services are demand-driven. The policy emphasizes the importance of developed skills for farmers, youth and women which will help to alleviate poverty in the long run, by creating economic opportunities. These will be crucial to implement research findings through innovative new technologies and strategies, increasing resilience and sustainability.

Pillar 3: Productivity and Sustainability. Agricultural production must increase accordingly in order to meet socio-economic and food and nutrition security issues. The adverse effects on land resources and climate change must be countered with continued efforts to increase inputs and sustainable climate smart practices; protecting agricultural land against fragmentation, erosion, and degradation; and shifting production toward higher-value products and introducing land-saving technologies. Animal resources production has seen growth in recent years. To increase production further, sustained effort is required toward introducing improved breeds, sourcing animal feed, and fighting animal diseases. Farmers tend to be vulnerable to risk. It is therefore required to build resilience and response mechanisms against adverse events in farming communities and provide social protection for vulnerable groups.

Pillar 4: Inclusive markets and off-farm opportunities. Efficiently working market systems are deciding factors for consumers, producers, processors, and traders alike. This pillar promotes improved productivity and inclusiveness of agricultural market systems and increased off-farm opportunities of diversified for agricultural products for domestic, regional, and international markets. Moreover, the objective is to promote reliable access to affordable and healthy diets for the Rwandan consumer in order to meet national objectives on poverty reduction, food security, and nutrition. This will be achieved by strengthening post-harvest handling and market linkages throughout the value chain with hard and soft infrastructure; secondly, to increase awareness and access to healthy diets for the consumer; thirdly, to promote food safety and access to higher end markets with expanded access SPS and quality standards certification. Finally, to streamline value chains to exploit the growing opportunities for export diversification.

The NAP will be implemented primarily through projects formulated under the fourth Sector Strategic Plan for Agriculture (PSTA 4).

Rwanda's Strategic Plan for Agriculture Transformation Phase 4 (PSTA 4) outlines priority investments in agriculture and estimates required resources for the agriculture sector for the period 2018-2024. The design of the sector strategy like the PSTA 4 implies a number of actions and activities that lead to the design of the Country Investment Plan (IP), which in turn, is based on priority interventions as outlined in the sector strategy. The IP has many advantages from lessons learnt from previous years. This investment plan gives the intelligence needed for donors and the government to decide jointly where to allocate their funds for their development interventions.

The PSTA 4 emphasizes a stronger role of the private sector, including farmers, with the government becoming a market enabler rather than a market actor. For example, direct government involvement in production, processing and marketing will be reduced. Besides creating an enabling environment, the government will provide public goods, otherwise undersupplied by the private sector, including infrastructure, research, social protection, and emergency response. Rwanda's main limiting production factor is land. Agriculture growth requires an increase in profits per hectare and capture of productivity gains along the value chain. To raise profits per hectare means increasing agricultural yields and switching to higher value agricultural commodities, such as horticulture, vegetable, poultry, pork, and fisheries. PSTA 4 focuses on facilitating private sector investment in fruit and vegetable production through upgrading provision of SPS/quality standards as well as supporting demonstration of better technologies such as green houses, hydroponics, and other small-scale irrigation solutions. As changes in weather and climate patterns are becoming more acute, PSTA 4 seeks to build resilience through on-farm measures and enable actions to increase productivity and alternative land management to complement terracing with comprehensive climate smart soil and integrated watershed management. PSTA 4 also introduces better weather and climate information and early warning, and seeks to ensure all investments are climate smart.

Markets and value chain development play a central role in driving the transformation of the Rwanda's agriculture sector. This requires investments and inputs from a broad range of private actors and stronger linkages between market-oriented production systems and efficient end-markets. Priority will be given to attract investment to enhance market-oriented production and aggregation while reducing post-harvest losses. Despite impressive growth in agriculture production over the past 10 years, food security and nutrition remain concerns. PSTA 4 adopts a food systems approach for enhanced nutrition and household food security. It proposes approaches and interventions to ensure the nutrient quality of commodities is preserved or enhanced throughout the entire value chain. In addition, resilience and risk mitigation strategies will continue to be developed, particularly at the household level. Agriculture transformation will require research and innovation - introducing new crop varieties, disease mitigation, etc. – as well as farmers' knowledge and skills to support specialization, intensification, diversification, and value addition. ICT is promoted to increase the impact of extension and improve market information,

service delivery, financial inclusion, climate risk adaptation, and farmer feedback.

Farmer's organizations are strengthened to exert their bargaining power and provide services to their members in developing modern agri-businesses. In order to reach more women, and thus generate rural jobs and income, skills development and incentives for agribusiness entrepreneurship will be fostered. The PSTA 4 builds on the achievements of the PSTA 3, while envisaging a transformation of agriculture from a subsistence sector to a knowledge-based value creating sector, that contributes to the national economy and ensures food and nutrition security. Throughout the PSTA 4 there is a strong focus on private investments, as it recognizes that agriculture growth must be driven by investments of private actors.

The PSTA 4 is designed to achieve four strategic impact areas that are in accordance with the CAADP framework. Namely, A) Increased wealth contribution; B) Increased Economic Opportunity; C) Improved Food Security; D) Increased Resilience. It is the implementation plan of the National Agricultural Policy (NAP) and represents the agriculture sector's strategic document under Rwanda's National Strategy for Transformation.

Other Agriculture Related Policies/Frameworks in Rwanda

Rwanda has well elaborated policies, strategies, and development frameworks on agriculture and rural development which focuses on food security, nutrition security, and poverty reduction. Since 2000, the food security policy has been guided by international, regional, and national commitments towards ensuring food security and poverty reduction among the rural population. The PSTA, EDPRS, and Vision 2020 are consistently aligned with the prospects of the SDGs (2015), and budgetary and growth principles of the CAADP Compact.

Opportunities and challenges developing and implementing policies in ecological organic agriculture

Some stakeholders interviewed in this exercise have expressed a number of challenges that need to be addressed in order to fill some of the identified gaps. These include but are not limited to the following:

- ✓ building the culture of research, monitoring and evaluation and policy analysis to inform the decision making process in food and agriculture;
- ✓ building human capacity that would help the sector to deliver beyond the outputs (outcome driven human capacity development);
- ✓ for government to continue decentralization of some agricultural services and activities to the private sector (for example the marketing of organic seeds and fertilizers);
- ✓ strengthening other stakeholders participation and improved communication systems between the decision makers and farmers organizations
- ✓ encouraging farmers (including organic farmers) to participate and contribute to the design

and implementation of policy in agriculture and food safety too.

Lessons Learned

- ✓ Accountability systems between the government, the private sector and the CSOs needs improvement to ensure sufficient and sustained participation and dialogue; and the two way relationships necessary to ensure a strong and commercially viable ecological organic agriculture economy.
- ✓ The MINAGRI leadership team and staff have technical backgrounds in production agriculture. The MINAGRI ought to have an the EOA focused complementary staffing in place.
- ✓ Governments should also display a level of confidence and trust of the private sector in order for the goals and objectives. The definition of the private sector must be broad and must encompass all actors in the value chain. Each actor plays a critical role and must be profitable in order for the value chain to be competitive and to grow.
The added value of locally driven businesses such as loyalty to the community and multiplier and spillover effects needs to be understood.
- ✓ Workshops, seminars, trade fairs, conferences and round tables need to be routinely conducted with the private sector participants by subsector, such as millers, juice processors, dairy processors, coffee exporters, and tea exporters to establish the critical relationships and to build trust. These events are critical to understanding the challenges and opportunities of the subsector to provide the institutional support needed. The roundtables designed specifically for the private sector positions the GoR to partner with the private sector.
- ✓ A national capacity building program for CSO's needs to be appropriately identify their policy needs/agenda/impact and be able to design an advocacy communications strategy and put it into action.

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COUNTRY 4 CASE STUDY: TANZANIA

Overview

Tanzania is an East African country situated on the Indian Ocean just south of the Equator. It borders eight other nations: Kenya, Uganda, Rwanda, Burundi, the Democratic Republic of Congo, Zambia, Malawi, and Mozambique. Since independence in 1961, mainland Tanzania has remained an agrarian economy. Tanzania's economy is heavily dependent on agriculture. The country is one of the world's largest producers of sisal and cloves. Chief exported crops include cashews, tobacco, cotton, coffee, tea and wheat. However, the majority of agriculture is subsistence-oriented. Tanzania produces cattle meat, cassava, maize, milk, rice, plantains, sorghum and sweet potatoes for domestic consumption. Agriculture is the backbone of the Tanzanian economy. Smallholder farms using traditional cultivation methods dominate the sector.

According to FAO, the agriculture sector—which contributes nearly one-third of Tanzania's GDP and employs 75 percent of country's population, with women constituting the majority of agricultural workers—has the potential to increase incomes and improve livelihoods, as having the potential to make a significant contribution to the economic growth of the country. The total agricultural area in Tanzania amounts to 37.3 million hectares. Around 33 million people are counted as agricultural populations.

EOA/OA in Tanzania

According to data from IFOA, the organic sector in Tanzania is still relatively underdeveloped. About 55,867 hectares of land are under organic cultivation, which accounts for 0.14 % of the total agricultural area. Organic history goes back to September 1898 when the first organic garden was founded at Peramiho in southern Tanzania. Since it was started, the garden has been fertilized by stable manure, compost, wood ash and latterly green manure, thereby creating a foundation for permanent soil fertility (Bertram, 1997). In an effort to assist farmers to address the problems associated with production decline and increasing input prices, NGOs launched sustainable, organic and, in some cases, ecological farming initiatives. Most of these initiatives were based on practices and principles, which are today embedded in organic agriculture.

The NGOs included: Inades Tanzania, Pelum, Sunnhemp Seed Bank, ADP-Mbozi and Kilimo Hai Tanzania (KIHATA). The projects included: SECAP-GTZ, Meatu Cotton Project, Hifadhi Mazingira (HIMA) and Babati Land Use Management Programme (LAMP).

The Tanzania Organic Agriculture Movement (TOAM) is the umbrella organization for organic agriculture in Tanzania. KIHATA previously handled the organic sector but it didn't have full participation from all stakeholders therefore TOAM was established. In 2005 TOAM developed a strategy plan with five pillars to guide its future activities. TOAM has recently been involved in media conferences as well as a meeting with the Ministry of Agriculture, Food Security and Cooperatives to create a common understanding of organic agriculture.

Other institutions involved in organic agriculture include: Sokoine University, Agricultural and Livestock Training Institutes, Neem Botanical Research Station and Tengeru.

Organic Certification

TanCert Organic Standards is used for certification of organic production in Tanzania. It is by that also the base for the production that can carry the "Hai" logo for organic products. The TanCert Organic Standards takes into account the specific conditions for organic production in Tanzania and also the stage of development of organic production in the country. Organic production and processing to the TanCert Standards shall also comply with the national legislation. The TanCert Organic Standards is built on the IFOAM Basic Standards and have then through an active stakeholder consultation been developed to be well functioning for Tanzanian conditions. The TanCert Organic Standards make it possible for following a product through the whole production chain until a product is packed and labelled as organic. In May 2007, the East African Organic Products Standard (EAOPS) was launched after a consultative process, which started in 2005 by harmonizing organic standards like TanCert that existed in the East African region. Other external certifiers such as IMO, EcoCert, KRAV, Soil Association and Bio-Inspecta. Certify products especially for export markets.

Key organic products produced in Tanzania

From the secondary data it is evident that Tanzania produces quite a range of organic products. However, these products are mainly for the export market. Tanzania is ranked 4th in the world for the number of organically certified farmers (Fibl and IFOAM, 2015). Production and marketing of organic products in Tanzania are at their infancy stage. Most of the current organic production initiatives are targeted at the export market. However, the issue of organic farming seems to be gaining momentum and attracts a lot of interest from local and international organizations in the country. Some of the organic products found in Tanzania include but are not limited to; cotton, coffee, black tea, cocoa, ginger, vanilla, sesame, pineapples, sunflower, green grams, beans, spices, honey, and cashew nuts, essential oils like lemon grass oil, eucalyptus oil and sweet basil oil.

The status of EOA/OA legislation and policy

At present, Tanzania does not have a policy openly directed towards ecological organic agriculture, even though public interest and recognition of organic agriculture are both on the rise. The National Agriculture Policy of 2013 has clauses on organic farming and is described as a “window of opportunity” that has the capacity to enhance both “national and farm incomes”. NAP has four main policy statements in relation to organic agriculture:

- I. Registration and availability of organic inputs to farmers shall be facilitated;
- II. The Government shall facilitate accreditation of organic products in order to reduce certification costs
- III. Initiatives for regulation and certification of organic products shall be promoted
- IV. In collaboration with the private sector, effective coordination among stakeholders shall be enhanced. (Tanzania National Agriculture Policy, section 3.21.3 2013)

Despite these statements, there is limited availability of organic farm inputs (organic seeds, fertilizer, pesticides) regardless of the fact that there is increasing interest from the private sector to supply and produce organic inputs. While NAP states the intention for strong regulation and certification body there is still no strong local certification body responsible for organic certification and while there exists an Organic Desk exists in the Ministry, it is too small to offer effective coordination of a vast and fast growing organic sub-sector.

The policy makes reference to constraints to organic agriculture including high certification costs and weak regulation. Little else is said about what is being done to follow up statements made in the policy and develop further the organic sector, which currently contains thousands of certified farmers. However, as of October 2020, Tanzania does not have an obvious national organic agriculture policy (NOAP) document.

Agricultural Policy Process and Its Implementation in Tanzania

The policy formulation process in Tanzania is supposed to use a bottom – up approach. The process starts with recognition of a problem that needs to be solved. Having identified a problem what follows is identification of stakeholders upon who this problem impacts the most and the roles of different stakeholders in addressing the problem and reaching a solution. All key stakeholders i.e. government and its institutions as well as key actors in Regions, Local Government Authorities and local communities have the right to take part in the process. Stakeholders participation is advocated right from the early stages of the exercise to make sure ideas are shared and supported by all stakeholders. Agriculture policy formulation process in Tanzania is meant to be participatory, involving the public from problem identification through implementation, monitoring and evaluation (M&E).

The current agricultural policy landscape in Tanzania consists of the Agricultural Sector Development Programme (ASDP) and Kilimo Kwanza, which means “Agriculture First” in Kiswahili. In 2010 the Tanzanian government and other national stakeholders signed a CAADP compact resulting in the Tanzania Agriculture and Food Security Investment Plan (TAFSIP), which then was added to the policy arena. The TAFSIP is largely based on the preexisting Agricultural Sector Development Programme with added components incorporating food security, climate change and to some extent private sector development. Although the Agricultural Sector Development Programme and Kilimo Kwanza are both supported by the Tanzanian government and run in parallel, the foci of the two policies are very different. The ASDP (and by extension the TAFSIP) promotes smallholder development while Kilimo Kwanza is largely geared towards large-scale commercial agriculture, agribusiness and mechanization and is in fact an initiative of the Tanzanian private sector.

The ASDP is perceived as a heavily state-led agricultural development strategy, while the latter revolves around private sector development. It should be noted that although Kilimo Kwanza can be characterized as a policy statement as it does not have any independent funding attached to it.

From a political economy perspective, most analysts divide the timeline of the policy landscape for Tanzania into five distinct periods; (i) before independence; (ii) post-independence (1961 – 1967; Post-Arusha Declaration or the socialist era (1967 – 1984); (iii) Structural adjustment era (1986 – 2000) and (iv) post-Structural Adjustment Era (2000 – present).

Since the 1990s, the Tanzanian government has instituted a number of policies that influence the development of the agricultural sector. These can be grouped into five broad categories. These include the following:

- **The National Agriculture and Livestock Development Policy of 1997**, which elaborated areas of emphasis for the development of the agricultural sector in crop development, livestock, and fisheries for the achievement of food self-sufficiency and overall rural development. This policy was revised to create with the National Livestock Policy of 2005 and the National Agriculture Policy of 2013.
- **The Land Policy of 1995**, which promotes and ensures a secure land tenure system and encourages the optimal use of land resources for human settlements and for agricultural development.
- **The National Environmental Policy of 1997**, which promotes sustainable agriculture with a focus on protection and conservation of the environment, especially by reducing soil deterioration, preserving water catchments, and mitigating actions that foster environmental deterioration.
- **The National Forestry Policy of 1998**, which aims at fostering sustainable forest management, preservation of biodiversity, conservation of water catchments, and prevention of soil erosion through agroforestry, reforestation, and prudent use of forest resources.

- **The Local Government Reform Policy of 1998**, which aims at devolving responsibility for public service to local government authorities for the planning and implementation of agricultural and other policies.
- **The Agricultural Marketing Policy of 2008**, which aims to develop an efficient, effective, flexible, accessible, and equitable agricultural marketing system.
- **The National Irrigation Policy of 2010**, which emphasizes sustainable availability of irrigation water and its efficient use for enhanced crop production, productivity, and profitability for food security and poverty alleviation.

Key Actors, Policymakers, and Policy Influencers in Tanzania

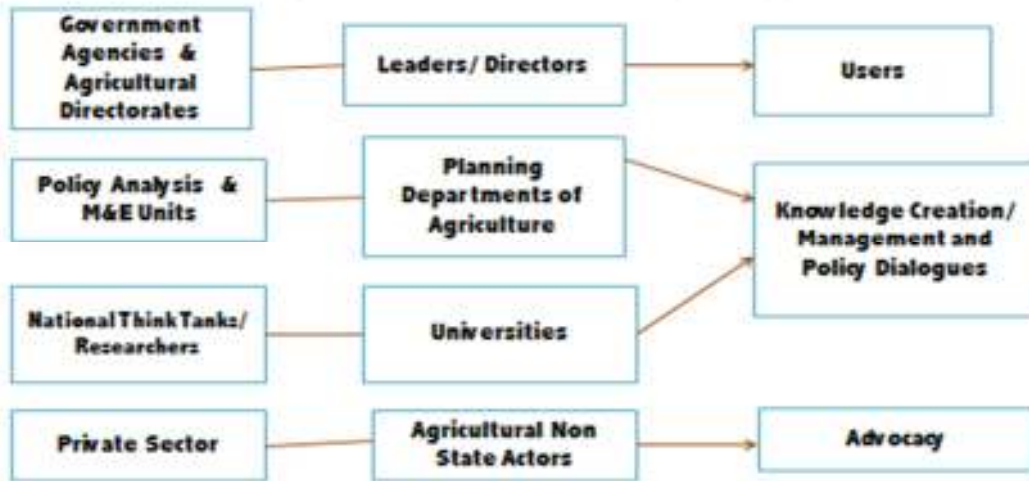
The involvement of agricultural ministries and other government agencies in the policy process in general is widespread in Tanzania. At national level there are macro or cross cutting policies, sector policies as well as sub sector policies. Macro or cross cutting policies are those policies whose implementation involves several ministries or cuts across several sectors.

The Tanzania National Vision 2025, The National Strategy for Growth and Reduction of Poverty (NSGRP) and several other economic policies provide the overall framework for the formulation and implementation of other (sector) policies. The responsibility for formulating these policies lies with organs like the President's Office, the Vice President's Office, the Prime Minister's Office, Ministry of Finance or Ministry of Planning, Economy and Empowerment.

The design and formulation of sector policies is the responsibility of respective sector Ministries. These Ministries have the mandate to formulate sector policies and to monitor their implementation and impacts. However, their immersion in strategic policy research and investment planning is almost negligible. For example, according to the draft policies of the Ministry of Agriculture, Food Security and Cooperatives (URT/MAFC 2011) and Ministry of Livestock and Fisheries Development (URT/MLFD 2010), the institutional framework for policy implementation included various public institutions, leading agricultural ministries, other ministries, regional secretariats, local government authorities, parastatal organizations, academic and research institutions, and commodity boards. The private-sector organizations included farmers, farmers' organizations, agribusiness, financial institutions, civil society organizations (CSOs), and other service providers. The figure below presents categories of stakeholders/ organizations that are involved in the policy process.

The private sector plays only a marginal role in Tanzania's food security policy change process. Two established 'think tanks' exist in Tanzania which have and continue to contribute to the food security and agricultural development dialogue: Economic and Social Research Foundation (ESRF) and Policy Research for Development (REPOA).

Stakeholders/ organizations involved in the policy process



There are smaller, subsector specific associations which occasionally engage in policy dialogue with the GoT, such as the Tanzania Seed Traders Association (TASTA) and the Tanzanian Organic Agriculture Movement (TOAM). The Agricultural Non-State Actors Forum (ANSAF) is an advocacy network made up of concurring organizations, such as NGOs and CBOs, that seek to advocate for a favorable agricultural policy environment in Tanzania that benefits the poor. It promotes dialogue and constructive engagement among sector stakeholders; effectively analyzes existing agricultural policies; suggests practical policies and practices; and provides a platform for learning, sharing, networking, and coalition building around pertinent issues in the agricultural sector. The forum also strives to awaken latent opportunities in agriculture by identifying and articulating the potential that currently exists. Since its inception in 2006, the Agricultural Non-State Actors Forum has participated extensively in the policy process.

ANSAF has built its capacity more through its secretariat, since it draws members from the private sector, CSOs and NGOs, farmers' associations like Mtandao wa Vikundi vya Wakulima Tanzania, researchers, and individuals in the agricultural sector (ANSAF Profile 2012). Within the CSO community, the ANSAF have clearly established themselves as the organization with which to deal when Government wishes to address the CSO community. ANSAF has a clear structure in place, holds meetings regularly with members, and has managed to conduct some ex post policy analyses which they have published and disseminated.

Progress has been made in agricultural policy reforms in the last three years and a number of success stories have been recorded particularly in the Southern Agricultural Growth Corridor of Tanzania (SAGCOT).

However, there is a call for more concerted efforts in profiling stakeholders concerns and develop dialogue strategy, documenting regional experiences and international best practices and identifying and engaging champions of change in the agricultural transformation process.

An Example of a Successful Agriculture Policy: The Agricultural Sector Development Strategy II (ASDS - 2015/2016 – 2024/2025)

The Agricultural Sector Development Strategy is an important guiding tool for implementation of the sectoral policies for the next ten years (2015/16 – 2024/25). It aims at operationalizing transformation of the agricultural sector into modern, commercial, highly productive, resilient, competitive in the national and international market which leads to achieving food security and poverty reduction, contributing to realization of Tanzania Development Vision 2025 (TDV) that envisages raising the general standard of living of Tanzanians to the level of a typical medium-income developing country by 2025.

This Strategy is a revision of ASDS I 2001 based on the review of implementation of the Agriculture Sector Development Program (2006-2014) and other various development efforts during the past period. In practical terms, the Strategy clarifies the issues that constrain the performance of agricultural sector and provides effective guidance on the public interventions that coincided with private sector development to meet the sector development goals by 2015.

At sector level efforts, the Government of Tanzania embarked on the Agricultural Sector Development Strategy (ASDS) in 2001 to address the constraints and challenges in the sector in a holistic manner. The overall goal of the ASDS was to achieve an agricultural growth rate of at least 5 percent by 2007, with the five strategic areas of: (i) strengthening the institutional framework; (ii) creating a favorable environment for commercial activities; (iii) enhancing public–private roles in improving supporting services; (iv) strengthening marketing efficiency for inputs and outputs; and (v) mainstreaming planning for agricultural development in other sectors.

In 2006, the GoT established a basket fund, called the Agricultural Sector Development Programme (ASDP) aiming to coordinate development partner funding in the pursuit of the objectives laid out in the ASDS. This seven year commitment initially targeted two objectives; (i) to enable farmers to have better access to, and use of, agricultural knowledge, technologies, marketing systems and infrastructure, all of which contribute to higher productivity, profitability, and farm incomes; (ii) to promote private investment based on an improved regulatory and policy environment. In line with the GoT's commitment to decentralization, the ASDP provided two levels of programming: (i) National Level Support and (ii) Local Level Support – through District Agricultural Development Plan (DADP). Notable achievements have been realized in pursuit of the vision of the ASDS, which was to have a modernized agricultural sector by year 2025.

Implementation of the range of agricultural policies, strategies, and commitments in Tanzania that fall under TAFSIP is done through a number of programs, including the Agricultural Sector Development Programme (ASDP) for the mainland and the Agricultural Sector Strategic Plan (ASSP) for Zanzibar. Several synergistic initiatives that add value to the efforts under the ASDP and the ASSP include the Southern Agriculture Growth Corridor of Tanzania (SAGCOT), the agriculture component of the Big Results Now (BRN) initiative, and a number of donor funded initiatives. Several agricultural projects implemented by nongovernmental organizations (NGOs), individual farmers, civil society organizations, and private firms also contribute to food and nutrition security and poverty reduction in Tanzania.

Opportunities and challenges in developing and implementing policies in ecological organic agriculture

There are several opportunities and constraints that enable or hinder the development and implementation of policies in ecological organic agriculture development in Tanzania. These are grouped into economic and trade constraints, regulatory and certification constraints; and information, awareness and education constraints.

Challenges Facing EOA in Tanzania

- ✓ Lack of clear policy to guide OA development that result to little support from the government.
- ✓ Inputs such as organic pesticides and fertilizers that can be used to improve soil fertility and reduce pests and diseases are expensive and in very short supply.
- ✓ Unaffordable certifications and regulations. For example, a government allows registration of botanical (organic) fertilizers and pesticides, but the procedures involved are expensive for individuals to afford.
- ✓ Inadequate capacities in research, training and extension services. Due to the downsizing of the civil service since the mid-1980s, there are not enough extension workers who can help train farmers in the whole process of organic production preparation, packaging, labeling and marketing of organic products

Lessons Learned

- ✓ Although Government and policymakers use food and agricultural evidence-based information and request research data and statistics from available organizations, these organizations seem to be unable to hold the government accountable in implementing food and agricultural policies.
- ✓ The lack of skilled EOA manpower, physical, and EOA financial resources and capacity is evident in Tanzania. The National Government should commit additional resources and focus efforts at the Community and District levels to develop understanding and appreciation of EOA and food security priorities.

This effort should be in combination with skills training, hard and soft tools, and collaboration on monitoring and reporting progress of results on key agriculture indicators.

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COUNTRY 5 CASE STUDIES: UGANDA

Overview

Agriculture is the backbone of Uganda's economy. It contributes 42% of the GDP and 85% of export earnings, and provides employment for more than 85% of the mainly rural-based population. It also provides most of the raw materials for agro-based industries. Uganda has suitable climate, land, water, and forestry resources for agriculture. Farming is carried out by 3 million households cultivating fewer than 2.5 hectares each. Over half of the total agricultural GDP in Uganda is subsistence production mainly for household consumption. Uganda's agriculture is classified as traditional because most of the farming techniques and practices are indigenous and have not changed since the country gained independence. Inorganic fertilizers for soil fertility improvement and agro-chemicals for pest and disease control are rarely employed by the smallholder farmers because they are generally unavailable and/or unaffordable.

EOA/OA in Uganda

The initial efforts to promote organic agriculture in Uganda were made by rural development NGOs after the liberation war when farmers were experiencing serious agricultural production problems, high poverty levels, and food insecurity. NGOs such as the Uganda Rural Development and Training Programme (URDT), the Mirembe Self Help Project, and the Africa 2000 Network sought to help farmers in areas where natural resources had been severely degraded to adopt technologies suited to local conditions. At that time the term "sustainable agriculture" was used to describe these practices, and NGO staff were being trained in sustainable agriculture and participatory methodologies, mainly at the Kenya Institute of Organic Farming (KIOF) in Kenya, with support from the Dutch government. Farmers found most organic agriculture technologies affordable. Uganda has over 50,000 farm households certified as organic; for most of these, cash crops (such as coffee, cotton, and tea) are the major sources of income. In this regard, commercial organic agriculture can be seen as a major employer or employment opportunity.

Organic farming is practiced on smallholder farms, where the majority of work is carried out by women, supported by other family members. Direct land ownership is usually held by a man. This is especially the case if a farm is organically certified. Most of Ugandan agriculture closely aligns with organic methods because the traditional farming practices still largely followed by the majority of the smallholder farmers emphasize organic farming methods such as soil erosion control, crop rotation, use of natural fertilizers and manures, and mulching.

Organic Certification

Organic certification is slow and relatively expensive for most smallholders, and can thus act as a roadblock barring smallholders from accessing lucrative foreign markets. Group certification is needed, and imported organic inputs such as seeds, fertilizers and pesticides are very expensive.

Key Organic Products

The driving force behind the organic agricultural movement in Uganda is the export market. As early as 1994, a few commercial companies began deliberately engaging in organic agriculture, with an eye on the export market. Table I below highlights some of the organic produce that is available in the country.

Table I: Uganda's organic products

Category	Type	Region
Fresh fruit	Pineapple, Passion fruit Banana, Pawpaw	Central Uganda Highlands
Fresh vegetables	Avocado Matooke	Central Uganda Highlands
Dried fruit	Pineapple, Banana Mango, Pawpaw	Central Uganda Highlands
Dried spices	Ginger Vanilla	Central Uganda Highlands Bundibudgyo
Coffee	Arabica Robusta	Highlands Central Uganda
Cocoa	Cocoa	Central Uganda Bundibudgyo
Cotton lint	Cotton	Northern Uganda Kasese
Sesame	African mixed and white	Northern Uganda West Nile
Chillies	Bird's eye	Northern Uganda Cotton areas

Source: NOGAMU

National Organic Agriculture Policy (NOAP) Formulation Process

The National Organic Agricultural Movement of Uganda (NOGAMU) was established in 2001. In the year 2003, stakeholders approached the National Organic Agriculture Movement of Uganda (NOGAMU) and the Secretariat demanding a policy. After several meetings with the Ministry of Agriculture, Animal Industry, and Fisheries (MAAIF), an organic policy development committee was constituted. At the moment, there are at least four key ministries whose policy development and policy monitoring mandate relate to the development and function of the organic agriculture sub-sector.

These are: MAAIF, the Ministry of Trade, Tourism, and Industry (MTTI), the Ministry of Water, Lands, and Environment (MWLE- now called the Ministry of Water and Environment) and the Ministry of Finance, Planning, and Economic Development. The Ministry of Agriculture, Animal Industry and Fisheries is currently taking the lead on the development of a national policy on organic agriculture. In this regard, the MAAIF has been responsible for initiating the process and convening specialized policy working group meetings and stakeholder workshops. The MAAIF has worked closely with other actors, such as the Advocates Coalition for Development and Environment (ACODE), NOGAMU, Uganda National Bureau of Standards (UNBS), Uganda Export Promotions Board (UEPB), Uganda National Council of Science and Technology (UNCST), the National Agricultural Research Organization (NARO), The Advocacy Coalition for Sustainable Agriculture (ACSA) and The Participatory Ecological Land Use Management (PELUM) Uganda. However, beyond the enthusiasm demonstrated by the MAAIF staff commitment to the policy development process, the Ministry has not demonstrated clear commitment to the process by way of allocating funding towards the completion of the policy.

The Status of EOA/OA Legislation And Policy

Among the governments of countries in Eastern Africa, the Government of Uganda has been the most active supporter of the organic sector. Certain government agencies, such as the Uganda Export Promotion Board (UEPB) and the Uganda National Bureau of Standards, are particularly interested in promoting organic exports and developing organic standards.

The Ministry of Agriculture, in partnership with NGOs and the private sector, has been engaged in the process of developing an organic policy since 2003, spearheaded by a technical committee of stakeholders in the sector.

Uganda has no organic agriculture policy as yet to guide policymakers, farmers and development stakeholders. Organic agriculture is not mentioned anywhere in the National Agricultural Plan of 2013 or the National Agricultural Research Policy.

As of October 2018, fifteen years after its inception, the draft national organic agriculture policy (NOAP) document for Uganda has been reviewed and is ready to be discussed at the cabinet level, along with the action plan/implementation plan for the NOAP. However, one major step remains before the draft policy becomes approved, which is getting cabinet approval of the draft document into a fully gazetted and functional National policy.

Agricultural Policy Process and Its Implementation in Uganda

Traditionally, policies in Uganda were made by a few government officials, with little to no input from other stakeholders. From the colonial era until the early 1980s, the government set the agenda and dominated policy formulation in the agricultural sector, while forcibly implementing the resulting procedures without articulating why they were necessary or desirable. From the mid 1980's, acknowledging that the policy had failed principally because it was imposed in a top-down manner, the present government emphasizes on involving all stakeholders in policy formulation (Tumushabe, Naluwairo & Mugenyi, 2006).

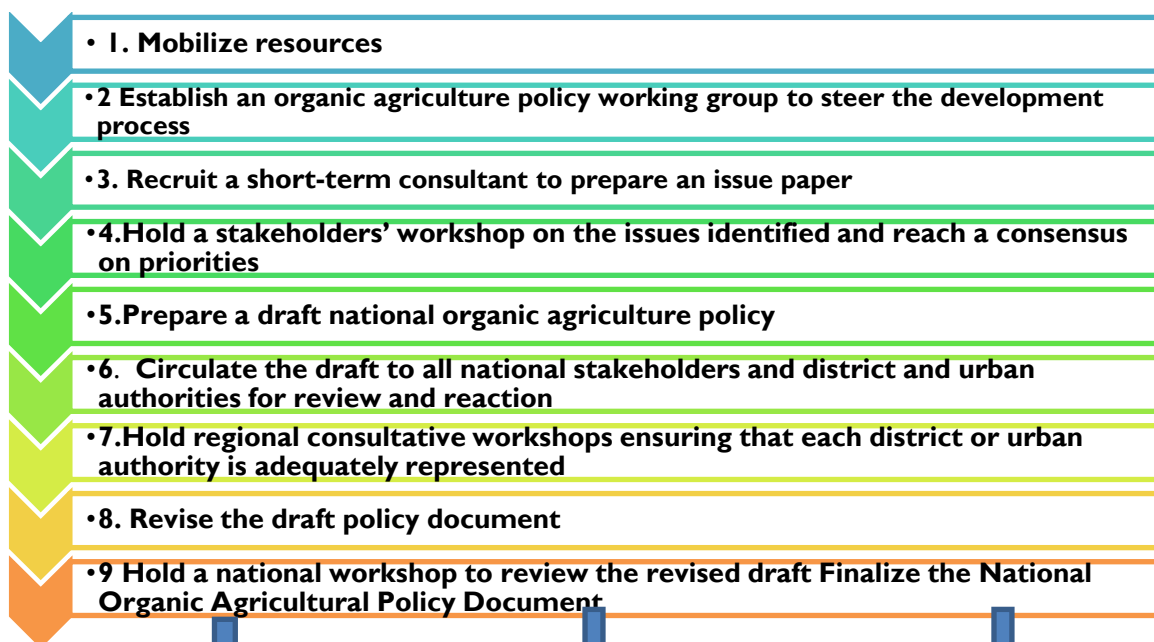
The policymaking process has become more consultative in recent years, as the current government has opened up the policy debate since coming to power in 1986. It is increasingly soliciting the views of stakeholders, particularly in the context of decentralization, while interest groups such as NGOs and private sector associations are also exerting a growing influence on the policy process.

The Policy Formulation Process in Uganda

The Uganda Government policy development process is comprised of several phases that include: policy initiation or identification, policy analysis, decision making, implementation, and monitoring and evaluation. Policy initiation involves accurate identification and comprehension of the social, economic, and/or political issue. The process of policy identification helps stakeholders to distinguish symptoms from the problem itself. In all cases, it involves defining the problem and the evaluation criteria, identifying all alternatives, evaluating them, and recommending the best policy agenda for adoption.

The current process is as follows:

Steps To EOA/OA Policy Formulation



Finalize the National Organic Agricultural Policy Document and Forward The Final Draft To The Relevant Minister For Transmission For Cabinet Approval

Source: Author

Decision-making is conducted in the context of a set of needs, preferences an individual or organization has and values they seek. The involvement of the actors in the policy process varies in Uganda according to the policy process phases, agricultural sectoral mandate, auxiliary or complementary roles, and function of the actor in question. The policy formulation process must be regarded as a continuous process integrated in the interaction with the environment. It is considered rational when one systematically applies knowledge, skills, and evidence to arrive at a logical conclusion. In government settings, it involves balancing of political realities without adversely affecting would-be stakeholders.

Key Actors

The involvement of the actors in the policy process varies according to the policy process phases, agricultural sectoral mandate, auxiliary or complementary roles, and function of the actor in question. The main actors in the policymaking process can be identified as the Ministry of Agriculture, Animal Industry, and Fisheries, especially the Plan for Modernization of Agriculture secretariat and the Agriculture Sector Working Group, parliamentary subcommittees, development partners (bilateral, multilateral, and projects), the private sector, farmers (commercial, medium, and small scale), farmers' organizations, local governments (districts and sub-counties), civil society organizations (CSOs) and other affiliated ministries, such as the Ministry of Finance Planning and Economic Development, research institutions, academia and media

A number of institutions are involved in developing policies that directly or indirectly influence the performance of the agricultural sector. They can be grouped into five categories:

Government ministries whose policies have a direct impact on the sector

- Ministry of Agriculture, Animal Industry, and Fisheries (MAAIF)
- Ministry of Finance, Planning, and Economic Development (MFPED)

Government ministries and/or agencies that develop policies which indirectly influence the sector

- Ministry of Tourism, Trade, and Commerce
- Ministry of Water, and Environment
- Ministry of Lands, Housing and Urban Development
- Ministry of Works and Transport
- Uganda Coffee Development Authority
- Cotton Development Organization
- National Environment Management Organization
- Uganda Tea Authority
- Parliament of the Republic of Uganda

Civil Society

- Community-Based Organizations
- Non-Governmental Organizations

- Media
- Faith-Based Organizations

International organizations/donors

- International Monetary Fund, World Bank, and other development partners/donors

Example of Key Research institutions

- Economic Policy Research Centre
- National Agricultural Research Organization
- Makerere Institute of Social Research
- Centre for Basic Research

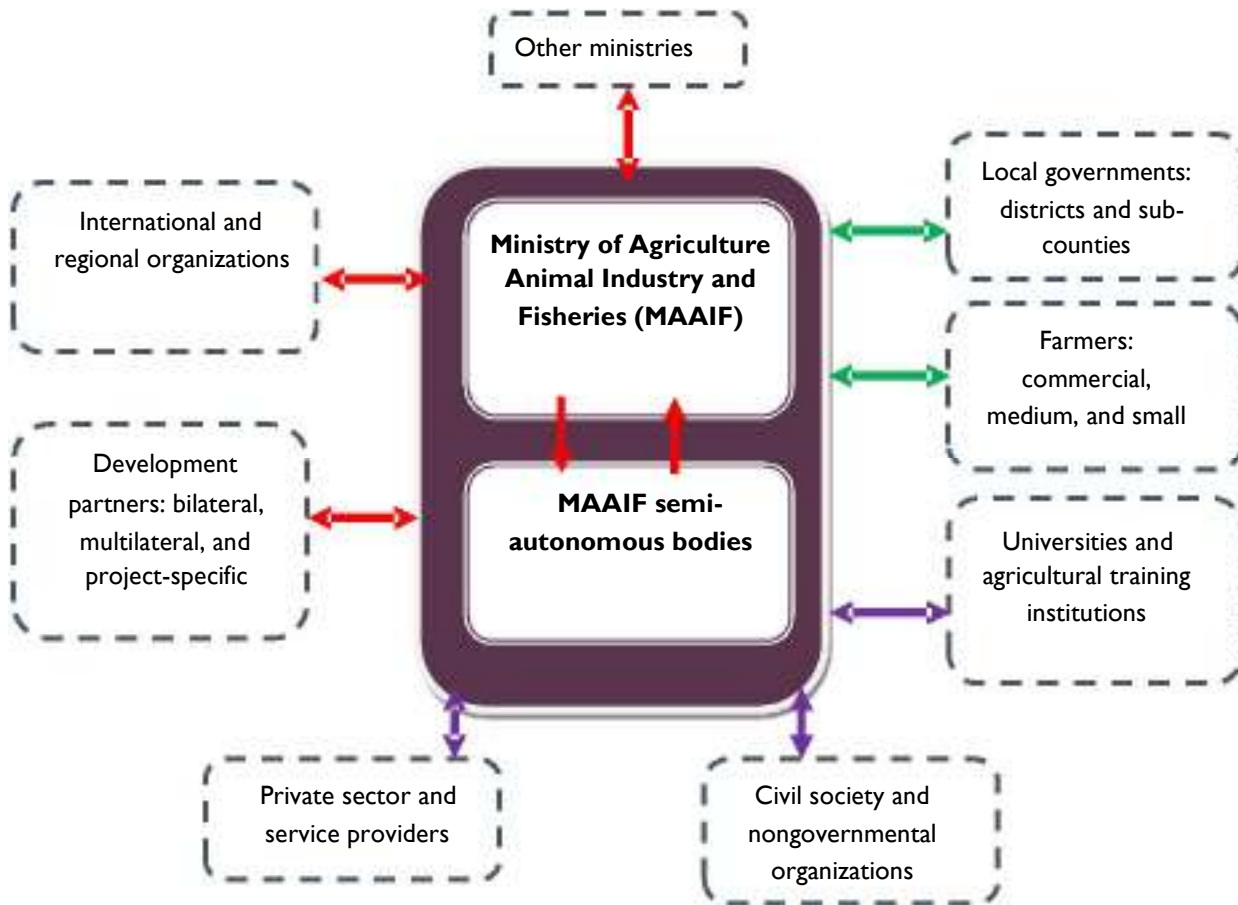
An Example of a Past Successful Agriculture Policy: Development Strategy and Investment Plan Policy

The Ministry of Agriculture, Animal Industry, and Fisheries' 2010 Development Strategy and Investment Plan covers the period 2010/2011–2014/2015, and is an outcome of the revised 2005/2006–2007/2008 plan, which consolidates and harmonizes all existing parallel policy frameworks in the agricultural sector into one coherent plan. The development of the Development Strategy and Investment Plan was a participatory and inclusive process, involving consultation with key stakeholders in the agricultural sector, including the private sector, national and local government officials, development partners, and civil society representatives. Four thematic working groups were formed, which identified issues and ideas, and then discussed, analyzed, and agreed on them for incorporation into the plan. Stakeholders were also involved in the review of various drafts of the plan document.

To this end, several dimensions of the policy process networks were identified in the development of the plan, including type of actors, functions, structures and government, civil society, and private-sector arrangements and strategies for public administration.

The consultative processes were undertaken with the recognition that Government policies, particularly with respect to agricultural and rural development, had suffered from a lack of common objectives and coordination among the implementing ministries. Some policies have had also tended to respond more to short-term interventions than long-term sustainable development.

Major Decision Makers In The Agricultural And Rural Development Sectors



Source: MAAIF.

Notes:

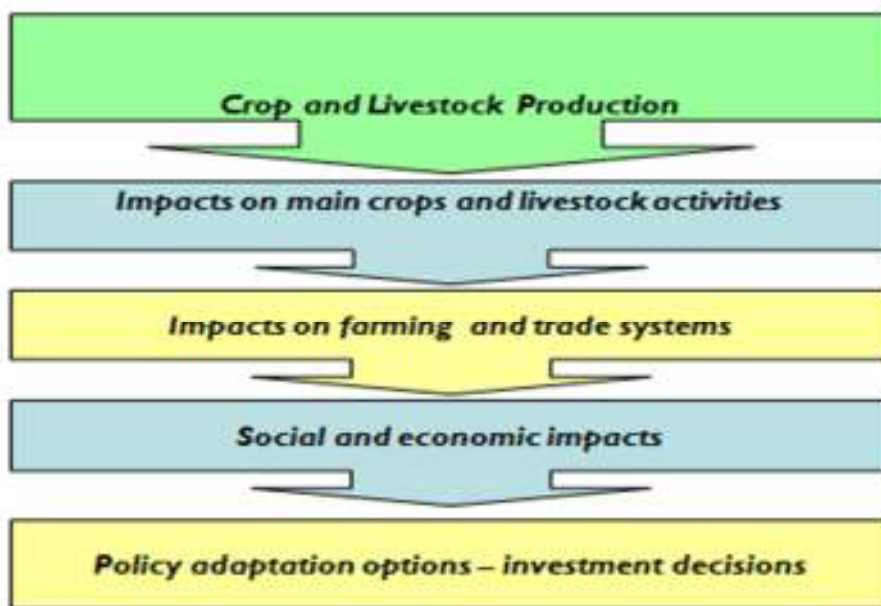
↔ At the **macro** level, the actors include the Ministry of Agriculture, Animal Industry, and Fisheries' autonomous agencies: the National Agricultural Research Organization etc. ...tend to concentrate on macro-level agricultural policy formulation, support, and supervision (especially of local governments), sector planning, regulation, standard setting, quality assurance, and sector monitoring and guidance.

↔ At the **meso** level, the actors are largely involved in the implementation of the policy directives that are set by the Ministry of Agriculture, Animal Industry, and Fisheries, other ministries, international and regional agencies, and other development partners. Their activities largely focus on the implementation of the rural development initiatives.

↔ At the **micro** level, the actors are either recipients or work with the meso-level actors in the implementation of the policy directives from the macro level. These include the local governments, sub county-level activities, farmers' organizations, and producer organizations.

While the first two categories actually develop policies, the last three groups mainly contribute to policy initiatives taken by others. The schematic diagram depicts the network of stakeholders involved in the decision-making process for agricultural and rural development. The stakeholders have different roles and responsibilities, and their involvement can generally be classified into macro, meso, and micro levels. At the macro level includes ministries responsible for policy formulation, monitoring, and implementation. At the meso level, there is implementation of the activities in line with the policy framework. And at the micro level, there is implementation and engagement of the beneficiaries, i.e. farmers

Underlying logic model upon which legislation and policies focused on agriculture are formulated



Source: Author

Other Agriculture Related Policies/Frameworks in Uganda

- ✓ **National Agriculture Policy (NAP) 2013** deals with commercialization of smallholder agriculture through accessibility of financial services such as loans. However, NAP lacks a consistent and implementation framework, thereby hindering substantial transformation and increase of agricultural production in the sector.
- ✓ **The Agriculture Sector Strategic Plan (ASSP) of 2015/16 to 2019/20** lays out the priorities and interventions that are crucial to transforming smallholder farmers into commercial farmers. The five-year strategy focuses on improving the accessibility of critical farm inputs such as fertilizers, as well as value addition and markets for the agricultural produce.

However, the strategy is constrained by unfavorable conditions for agricultural reform, including inadequate participation of women and youth and limited extension services.

- ✓ **The National Agricultural Extension Policy (NAEP), 2016**, was developed to provide long-term strategic direction for agricultural extension services in Uganda. The agricultural extension services facilitate smallholder farmers to sustain agricultural production and shift from subsistence farming to market-oriented and commercial farming. However, there are some challenges faced by the implementation of the policy, such as reduced funding for agricultural extension service delivery in the national budget and insufficient human resource that is inadequate to implement the agricultural extension reforms.
- ✓ **The National Agricultural Extension Strategy (NAES) 2016/17 to 2020/21** is expected to improve efficiency of agricultural production, competitiveness, and commercialization of smallholder farmers. The strategy empowers and allows participation of smallholder farmers, women, and youth, all of whom can benefit effectively from extension services and develop value chains that address their specific needs. In addition, NAES advocates for stronger linkages with research, educational, and farmer institutions among smallholders to improve agricultural production.
- ✓ **The National Fertilizer Policy of Uganda (2016)** ensures availability of affordable, accessible, high quality, safe, profitable, and sustainable fertilizer to smallholders to achieve sustainable production. The policy promotes awareness of fertilizers and encourages the participation of smallholders, women, and youth in the marketing of fertilizers. However, smallholder farmers lack information on proper fertilizer use and how to improve on its high cost and poor supply in Uganda.
- ✓ Though not yet implemented, the **National Seed Policy 2018 (NSP)** ensures that smallholders have access to the adequate, affordable, high-quality and safe seed and planting materials necessary for agricultural intensification. This policy focuses on increasing awareness, i.e. proper dissemination of seed related profitability information among smallholders to increase agricultural productivity. For example, the policy encourages smallholders, women and youth to conserve the best crop varieties with high food security value.
- ✓ **The Draft Irrigation Policy and National Irrigation Master Plan for Uganda (2010-2035)** has provision for smallholders that engage in subsistence farming and those who are shifting from subsistence farming to commercial farming to increase their agricultural production and productivity.

Source: MAAIF

Opportunities and challenges developing and implementing policies in ecological organic agriculture in the selected countries

- ✓ There are different stages to the policymaking process and at each juncture different evidence is needed. Mainstreaming EOA/OA in Uganda's agriculture development agenda will only be possible if public-private partnerships are involved in creating a critical mass of practitioners to advance the sub-sector initiatives (Kwikiriza, et.al, 2015). This will only be possible if new knowledge and skills are generated through evidence-based approaches to reinforce organic agriculture capacity in Uganda to answer a variety of lingering questions on production, farm systems, product quality, and marketing of organic products at local and regional levels. There is a world view that evidence-based approaches have the potential to have even greater impact on outcomes in developing countries, where better use of evidence in policy and practice could dramatically help reduce poverty and improve economic performance. In the case of Uganda, EOA/OA evidence has the potential to transform many lives.
- ✓ Sharing knowledge through a network of partners and platforms will ensure that the findings are communicated effectively, not only to the researchers, policymakers, and practitioner communities, but also to a broader public, thus improving their policy understanding and awareness. Small farmers often do not receive the technical information needed to enable them to improve their livelihoods. Connecting them to knowledge networks, particularly those that allow them to learn from each other, is essential for the development of EOA/OA in Uganda.
- ✓ EOA/OA in Uganda has the potential to fulfill certain expectations and policy formulation demands from national and regional conventions and protocols.

Challenges

Some of the challenges encountered can be categorized as (1) environmental, (2) technological, (3) financial and economic, (4) infrastructure and marketing, and (5) institutional and organizational constraints:

- The nation's executive branch tends to dominate the policymaking process, to the detriment of other bodies and stakeholders. The general move towards inclusive governance has not been effectively reflected in the policy making process. Stakeholder consultative processes have tended to be shallow and to favor the interests of donors, with little consultation usually being conducted during the formulation stage.
- There was a general feeling that the government in general formulate reasonably good policies on paper but little attention had been paid to implementation and review of existing policies.
- Even though there are some well-trained policy analysts in Uganda, they lack the "opportunity" to offer their opinions on policy issues and gain policymakers' confidence. Policy networks would go a long way towards building this kind of confidence through rising of the profiles of local analysts so as to enable them entrance into the policy process.
- Many analysts in the country are qualified to conduct research, but poorly equipped to conduct action-oriented research that effectively feeds into the policymaking process.

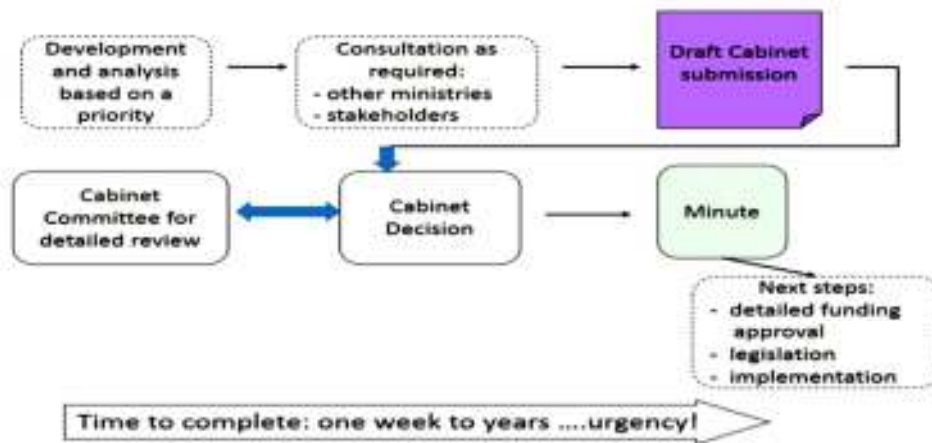
- Low farm productivity and income are the results of many complex factors impacting upon the farmers and rural communities.

Notwithstanding the above, there is ample evidence that smallholder farmers in Uganda are efficient and hardworking. However, their performance and potential to increase output and productivity is limited by chronic and transitory constraints at the farm and sector levels. These include but are not limited to lack of clear policy guidelines, bottlenecks, and corruption, among others

Lessons Learned

- ✓ One of the general points that comes across very strongly, considering the time it has taken to get the draft EOA/OA policy, is the lack of compulsion that applies to almost any formalized process in the government circles as illustrated in the diagram below. Guidance, training, and methodology may be available on a given issue such as policymaking, and normally are of good quality and fit for purpose, but different approaches and the rigidity of actors 'positions on an issue are tolerated, almost expected. Additionally, acquiring any proceedings of what is happening in policy formulation and implementation outside the government's purview tends to be opaque.

Cabinet Decision Making Process, Uganda



- ✓ A strong national organization for stakeholders like NOGAMU needs to be well structured and strengthened as it is crucial for building strategies, lobbying, and participating in important development such as the UgoCert, Uganda's certifying body.
- ✓ The process for policy development might take more time, but it certainly needs to be more participatory and concerted.

Most interested actors usually have participated in the processes and are therefore willing to defend and back EOA/OA in Uganda. In some instances, non-government stakeholders express concern at the idea of heavy government involvement, fearing that the original orientation and goals of an EOA/OA policy will likely be lost. However, from the case study review, the policy development process in Uganda indicates that this does not necessarily have to be the case, as long as the right alliances can be fostered between the public and private sector actors, and the policy development process is given enough time to facilitate a transparent and wide stakeholder participatory approach.

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APPENDIX 4: KEY MESSAGES FROM VALIDATION WORKSHOP HELD TO REVIEW DRAFT REPORT

(Held On 12th July 2019 At The Luke Hotel In Nairobi, Kenya)

The validation workshop, which was hosted by Biovision Africa Trust started with the opening remarks by Dr. David Amudavi (Executive Director, Biovision Africa Trust) followed by report presentation. This was then followed by plenary interventions for clarification and discussion.

Three break-out groups, made up of participants from the three study countries (Ethiopia, Kenya and Uganda) made concrete suggestions, including that there be an abridged version of the report on each of the three countries. The following were the key messages retained:

Group Guiding Questions

- The groups were asked to identify:
1. Sources of challenges in pushing policy legislation in their respective countries
 2. Pathways of manifestation through which challenges to organic policy formulation are experienced
 3. Opportunities available in their country for effective policy formulation and legislation
 4. Challenges that have to be confronted in pushing policy formulation and legislation
 5. Way forward

	ETHIOPIA	KENYA	UGANDA
Sources of challenges in pushing policy legislation	<ul style="list-style-type: none"> ✓ The main focus on poverty reduction promotion by the industry ✓ The skewed view on production and productivity through conventional agriculture by the government ✓ Limited mobilization awareness on EOA Limited utilization of national, regional and global opportunities that would promote organic agriculture 	<ul style="list-style-type: none"> ✓ Poor Coordination- Most stakeholders works in “silos’ ✓ Little follow up with the Ministry even as years passed. It is 10 years since the process started. ✓ Inadequate resources to support policy formulation and influencing ✓ Weak engagement with the media. No tangible media involvement High turnover of personnel at the Ministry of Agriculture 	<ul style="list-style-type: none"> ✓ President has to consent on the executive – overreliance on the executive ✓ Donors prioritize policies and hence there may be no budget ✓ Lack of implementation of good policies – lack of inclusiveness, corruption, lack of political will ✓ Lack of funds
Pathways of manifestation	<ul style="list-style-type: none"> ✓ Multinational corporations – aid, trade, corporation ✓ Research ✓ Incorporating organic agriculture into the education system ✓ Bilateral and multilateral institutions 	<ul style="list-style-type: none"> ✓ Increases demand of organic products ✓ Education institutions incorporate EOA/OA in their agriculture curricula 	<ul style="list-style-type: none"> ✓ Planning and formulation of the policies ✓ Awareness creation ✓ Mobilizing draft committee
Opportunities available for effective policy formulation	<ul style="list-style-type: none"> ✓ Existence of proclamation which is ratified by parliament ✓ Rich ecosystem and biodiversity of the country ✓ Threat of climate change – climate resilient green economy strategy ✓ Potential of the country to mitigate poverty through organic agriculture ✓ 85% of the Ethiopian population is smallholder farmers 	<ul style="list-style-type: none"> ✓ National advocacy strategy ✓ Increased demand of organic products ✓ Education institutions that have integrated organic agriculture in their courses ✓ 	<ul style="list-style-type: none"> ✓ Strong organic fraternity ✓ Devolved networks in the organic sector ✓ Academia involvement – UMU on board ✓ Goodwill within the ministry ✓ Threat to climate change ✓ Change in lifestyle as a result of non-communicable diseases

Challenges that have to be confronted	<ul style="list-style-type: none"> ✓ Evidence based peer reviewed research to present ✓ Control education system ✓ Grassroots implementation ✓ Multilevel awareness creation ✓ Push continuously without getting tired ✓ 	<ul style="list-style-type: none"> ✓ Poor coordination of EOA-I stakeholders – they were working in silos in influencing organic agriculture policy ✓ Little follow up with the Ministry of Agriculture ✓ Inadequate resources to support resource influencing ✓ Inadequate collaboration with policy makers and politicians 	High cost of certification
Way forward	<ul style="list-style-type: none"> ✓ Awareness creation at different levels ✓ Organizing policy focused dialogues ✓ Recommending policy formulation ✓ Work on the regulation formulation 	<ul style="list-style-type: none"> ✓ Increase awareness of organic – media engagement and publicity, bring in politicians ✓ Revive and strengthen task force within MoALFI and other stakeholders ✓ We need EOA taskforce, meet with PS of Agriculture, and will create a way for the actors to meet the CS <p>Organic agriculture scientists together to create demand for</p>	<ul style="list-style-type: none"> ✓ Document country wide threats ✓ Field visits ✓ Continuous sensitization through media and social media ✓ Fairs ✓ Continuous lobbying ✓ Share policy with ministry ✓

CONCLUSION

- 1) Through the discussion session, participants were able to identify challenges in pushing for policy legislation, opportunities available and the way forward. They were now more committed than ever in pushing for EOA policy legislations.
- 2) On way forward, all three countries agreed that they should increase awareness of EOA through media, fairs and continuous lobbying.
- 3) They also agreed that they should collaborate with the ministries of agriculture in their respective countries for the process to be a success.

