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INSTITUTIONAL ARCHITECTURE AND QUALITY OF AGRICULTURE AND FOOD SECURITY POLICY PROCESSES IN ZAMBIA

By

Hambulo Ngoma, Nicholas J Sitko, Thomas Jayne, Antony Chapoto, and Mywish Maredia

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The Zambia FSP buy-in activities provide technical support to enhance IAPRI's capacity to conduct and disseminate high quality socio-economic research and engage in regional policy debates in thematic areas relevant to USAID's expending portfolio in natural resource management, regional trade, nutrition, and gender studies, with particular emphasis on using new methodical approaches. The Zambia FSP buy-in is implemented by MSU, IFPRI, and UP under the Feed the Future Innovation Lab for Food Security Policy.

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ABSTRACT

Successive Zambian governments have committed to coordinated, all-inclusive developing planning to assure food and nutrition security and reduce poverty. Despite these efforts, questions remain around policy coherence and consistency in the agricultural sector and this—it is argued—is likely to crowd out private sector investment and engagement in the sector. This paper addresses several questions around the policy processes space in Zambia. What drives policy change? How does it happen? What accounts for the policy reversals or failure to fully adopt agreed upon policy changes?

This paper reports on the perceived quality and design of agriculture and food security policy processes, and on the quality of the institutional architecture supporting these processes from a recent survey involving 23 agricultural stakeholders in Zambia. The overall results indicate that while there are positive aspects of the policy processes that are in place, there is scope for improvements. In particular, the agricultural and food security policy processes in Zambia could be more inclusive by engaging more with stakeholders and by more effectively utilizing the available empirical evidence to inform policy design.

There is also scope to strengthen the monitoring and evaluation systems of progress towards the agricultural development goals and make resources available to support policy implementation. The institutions supporting agricultural and food security policy processes need strengthening. In particular, the roles of the Agricultural Sector Working Group and the Parliamentary Committee of Agriculture can be strengthened to provide oversight in the sector. The paper also highlights the main factors associated with the change from the traditional to the electronic voucher based implementation of the farmer input support program in Zambia.

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ACRONYMS

ASWG	Agricultural Sector Working Group
CAADP	Comprehensive African Agriculture Program
CSO	Civil Society Organization
CTPD	Center for Trade Policy and Development
E-FISP	Electronic voucher based Farmer Input Support Program
FISP	Farmer Input Support Program
FSP	Innovation Lab for Food Security Policy
FSRP	Food Security Research Project
GRZ	Government of the Republic of Zambia
IAPRI	Indaba Agricultural Policy Research Institute
MMD	Movement for Multiparty Democracy
NAIP	National Agricultural Investment Plan
NAP	National Agriculture Policy
NGO	Non-Government Organization
PAC	Parliamentary Committee on Agriculture
PF	Patriotic Front
SNAP	Second National Agriculture Policy
USAID	United States Agency for International Development
ZNFU	Zambia National Farmers Union

1. INTRODUCTION AND BACKGROUND

Successive Zambian governments have committed to coordinated development planning in order to align policy towards the long-term economic development objective of becoming a prosperous middle-income country by 2030 as encapsulated in the Vision 2030. To attain this vision, Zambia requires sustained annual economic growth of up to 10% with poverty and inequality reduced to about 20% and 40%, respectively, by 2030 (GRZ 2006). Agricultural development is a key priority for sustained economic growth and transformation, and to reduce poverty in Zambia (GRZ 2017).

Over the years, government through the Ministry of Agriculture[1] and other stakeholders have engaged in the design and implementation of policy processes to enhance agricultural development to assure food, income, and nutrition security. The National Agricultural Policy (NAP) provides the overall strategic direction for the agricultural sector in Zambia. The vision of the current Second National Agricultural Policy (SNAP) is "An efficient, competitive and sustainable agricultural sector which assures food and nutrition security, increased employment opportunities and incomes." The SNAP aims to facilitate the development of a competitive, diversified, equitable, efficient, profitable, commercialized, and sustainable agriculture sector.

The Zambian government signed the Comprehensive African Agriculture Development Program (CAADP) compact in 2011 and reaffirmed its commitment to both the Maputo and Malabo Declarations to spend at least 10 percent of its national budget on agriculture. The 2014 National Agricultural Investment Plan (NAIP) identifies priority areas for investment within the agricultural sector, while the CAADP compact supports implementation of the NAP, NAIP, and Vision 2030.

Despite efforts to make policy processes all-inclusive, stakeholders consider some government policies and interventions in the agricultural sector as unpredictable, ad hoc, and likely to crowd out private sector investment and engagement in the sector (Martin and Chileshe 2014). This leads to several unanswered questions around policy processes in Zambia. What drives policy change? How does it happen? What accounts for the policy reversals or failure to fully adopt agreed upon policy changes? What are the various steps required for policy pronouncements to be implemented on the ground? Using the Kaleidoscope model for policy change and drawing on other Innovation Lab for Food Security Policy (FSP) work, this report addresses these and related questions.[2] The model postulates that policy change goes through five steps: agenda setting, design, adoption, implementation, and evaluation and reform.

In recognition of the broad constraints to policy formulation and implementation, FSP with support from the United States Agency for International Development (USAID) initiated assessments of the institutional architecture, quality of policy processes on agriculture and food security in countries assisted by the Feed the Future initiative in order to derive best practices. The current assessment is part of these efforts. Following Benson et al. (2016), this paper analyzes the institutional architecture in Zambia's agricultural space and the involvement, and perceptions of stakeholders on policy

[1] The name for the Ministry of Agriculture has evolved over the years. Recent names include Ministry of Agriculture and Cooperatives, and Ministry of Agriculture and Livestock.

[2] The model has 16 hypotheses purported to influence policy change. See Resnick and Mason (2016) and Resnick et al. (2017) for recent applications of the Kaleidoscope model to analyze changes in the farmer input subsidy program and vitamin A fortification in Zambia.

formulation and implementation.[3] It complements and extends previous policy analyses in Zambia, e.g., (Chapoto et al. 2015; Martin and Chileshe 2014).

Unlike Resnick and Mason (2016), Resnick et al. (2017) and Chapoto et al. (2015) who focused on input subsidy policies and the maize sector, this study focuses on food and agricultural policies more broadly, and used a standard questionnaire developed by FSP to allow for cross-country comparisons. The study report presents the results of a survey conducted in 2016 to gauge opinions and perceptions of stakeholders on the quality and inclusiveness of agricultural and food security policy processes and the institutional setting supporting these processes in Zambia. The main motivation for this analysis was to measure two qualitative indicators on the overall quality of policy processes and institutional architecture that are included in the FSP Performance Monitoring Plan. This 2016 survey serves as the baseline with an end line survey planned towards the end of 2018.

[3] Institutional Architecture refers to the set of partner-country processes, practices and priorities for data collection and analysis, consultation and dialogue, policy proposal, feedback, approval, implementation, and enforcement (Martin and Chileshe 2014).

2. DATA AND METHODS

Between November 2016 and March 2017, about 110 respondents were purposively selected to participate in the Zambia agriculture and food security policy processes baseline survey. The survey reference period spanned some five years prior and up to December 2015. The selected sample represented stakeholders from government, private sector, donor agencies, civil society, and non-governmental organizations, and research or Think Tank organizations that are active and considered influential within the Zambian agriculture and food security policy space. The survey questionnaire (see Annex 1) was sent to and received by 86 out of the 110 sampled respondents. The survey instrument was first sent out by email in November 2016 with both a link to the electronic questionnaire and an attached survey instrument. We followed up with the respondents (several times) using email, phone, hard copy delivery of the survey instrument, and face to face interviews between February and April 2017. Despite these efforts, only 23 of the 86 respondents that received the survey instrument provided complete feedback (Table 1).

Module A of the questionnaire captured background information on the respondent and their organization. On average, respondents had about 15 years of engagement in agricultural policy in Zambia and about seven years of affiliation with their current organization (Table 1). Modules B and C assessed the quality of policies and institutional architecture, respectively, and assessed stakeholder involvement in policy formulation and implementation. In Module D, respondents were given the option to select one of the two recent policies implemented in Zambia, (i.e., the electronic voucher farmer input support program (E-FISP) and the 2015 open border maize policies) and asked to answer questions on policy formulation and design processes.

The survey used Likert-scale type questions/statements covering various aspects of the policy processes and institutional architecture. Survey respondents indicated their level of agreement or disagreement to the statements by selecting one of the four options coded as *0* completely disagree, *1* somewhat disagree, *2* somewhat agree and *3* completely agree. Mean scores to the questions for the whole sample and by respondent categories are reported.[4] Figure 1 presents results for Module B, while Figures 2 and 3 present results for Module C, and Figure 4 presents Module D results.

Table 1. Institutional Category and Experience of Survey Respondents

Institutional Category	Frequency	Percent	Years with current organization (mean)	Years engaged in agricultural policy in Zambia (mean)
Government	3	13.04	11.0	22.0
Private sector/Donor*	5	21.74	5.0	12.2
Research	8	34.78	7.0	16.1
CSO/NGO	7	30.43	5.1	11.7
Total	23	100.0	6.5	14.7

Source: 2016 FSP Baseline Survey.

*The private sector and donor categories were combined in the analysis due to low response rates.

[4] Readers should keep in mind the sample size when interpreting the mean scores in this report.

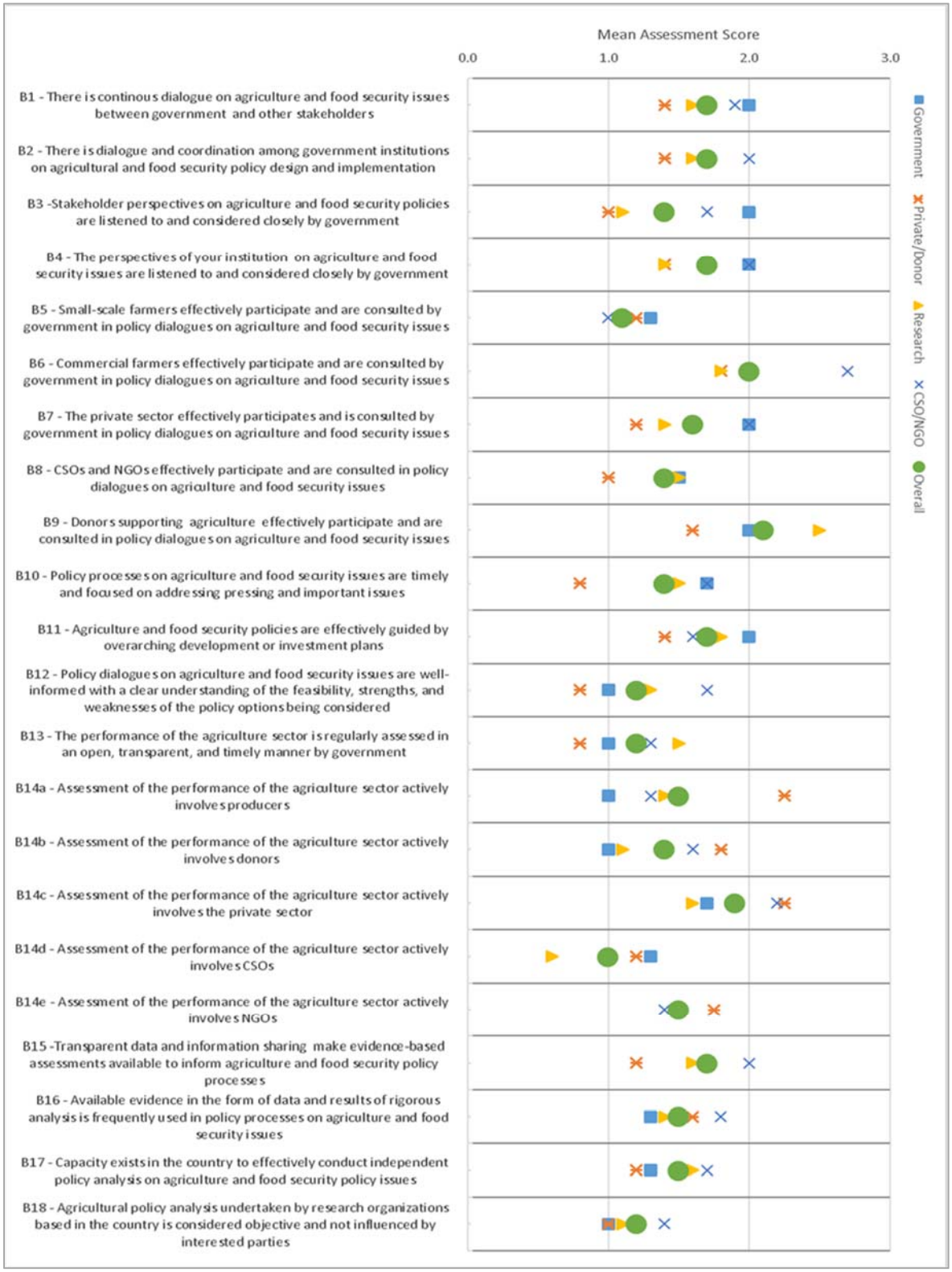
3. PERCEPTIONS ON THE QUALITY OF AGRICULTURE AND FOOD SECURITY POLICY PROCESSES IN ZAMBIA

Module B assessed the quality of the content and inclusiveness of agricultural and food security policy processes in Zambia. Because government is the main architect of policy processes, questions in this module examined the extent to which other stakeholders participate in policy design and implementation. The module also examined the level and quality of dialogue between government and non-government stakeholders, and the degree to which empirical evidence informs agriculture and food security policy debates in Zambia.

Most of the responses to the eighteen questions in Module B fall between the *somewhat disagree* and *somewhat agree* categories, with a mean score of about 1.52 for all questions (Figure 1). The overall mean score for government respondents at 1.55 is 0.03 points higher than the mean score for non-government respondents. From a broader perspective, these results suggest that there is room to improve the level of, and quality of dialogue, and stakeholder involvement in agriculture and food security policy processes in Zambia. Turning to the specific questions, the assessment in Module B highlights the following:

- The mean scores on the level of dialogue between government and other stakeholders (B1), and on dialogue and coordination among government institutions (B2) was 1.70. There are differences across respondent categories, with more government respondents indicating that they are somewhat agreeing/satisfied with the level of dialogue between government and other stakeholders than non-government respondents.
- With an overall mean score of 1.40, there is scope to incorporate the perspectives of other stakeholders in policy processes (B3). Again, government respondents were somewhat more satisfied with the manner in which perspectives of other stakeholders were included in the policy processes.
- Compared to small-scale farmers and the private sector, donor agencies and commercial farmers perceived to effectively participate and are consulted more in the policy processes (B5-B9).
- While most respondents somewhat agreed that agriculture and food security policies in Zambia are guided by overarching policy frameworks (B11), they felt that policy dialogues and debates were not well informed on feasibility, strengths, and weaknesses of policy options (B12).
- Respondents were critical and somewhat disagreed on the statement that the performance of the agricultural sector is assessed openly, transparently, and timely (B13).
- Producers (small scale and commercial farmers), donor agencies, private sector and non-government organizations are perceived to be more involved in assessing the performance of the agricultural sector than are civil society organizations (B14a – B14e).
- Again, most responses are in the somewhat disagree to somewhat agree range on opinions related to the importance of data and information sharing in evidence-based assessments of policy processes, use of rigorous empirical evidence in policy processes, and capacity of Zambian institutes to carry out independent policy analysis on agriculture and food security issues (B15-B17).
- However, the mean assessment score is closer to somewhat disagree on the question of whether agricultural policy analysis undertaken by research organizations is considered objective and not influenced by interested parties (B18). This may be an issue for serious reflection and discussion given that the ability of analysis to influence policy decisions depends on the perceived objectivity of that analysis.

Figure 1. Mean Assessment Score of Perceptions on the Quality of Agriculture and Food Security Policy Processes in Zambia, by Institution Type (Module B)



Source for all figures: 2016 FSP Baseline Survey.

Note: The mean score is the average of four assessment levels: 0 for completely disagree, 1 for somewhat disagree, 2 for somewhat agree and 3 for completely agree.

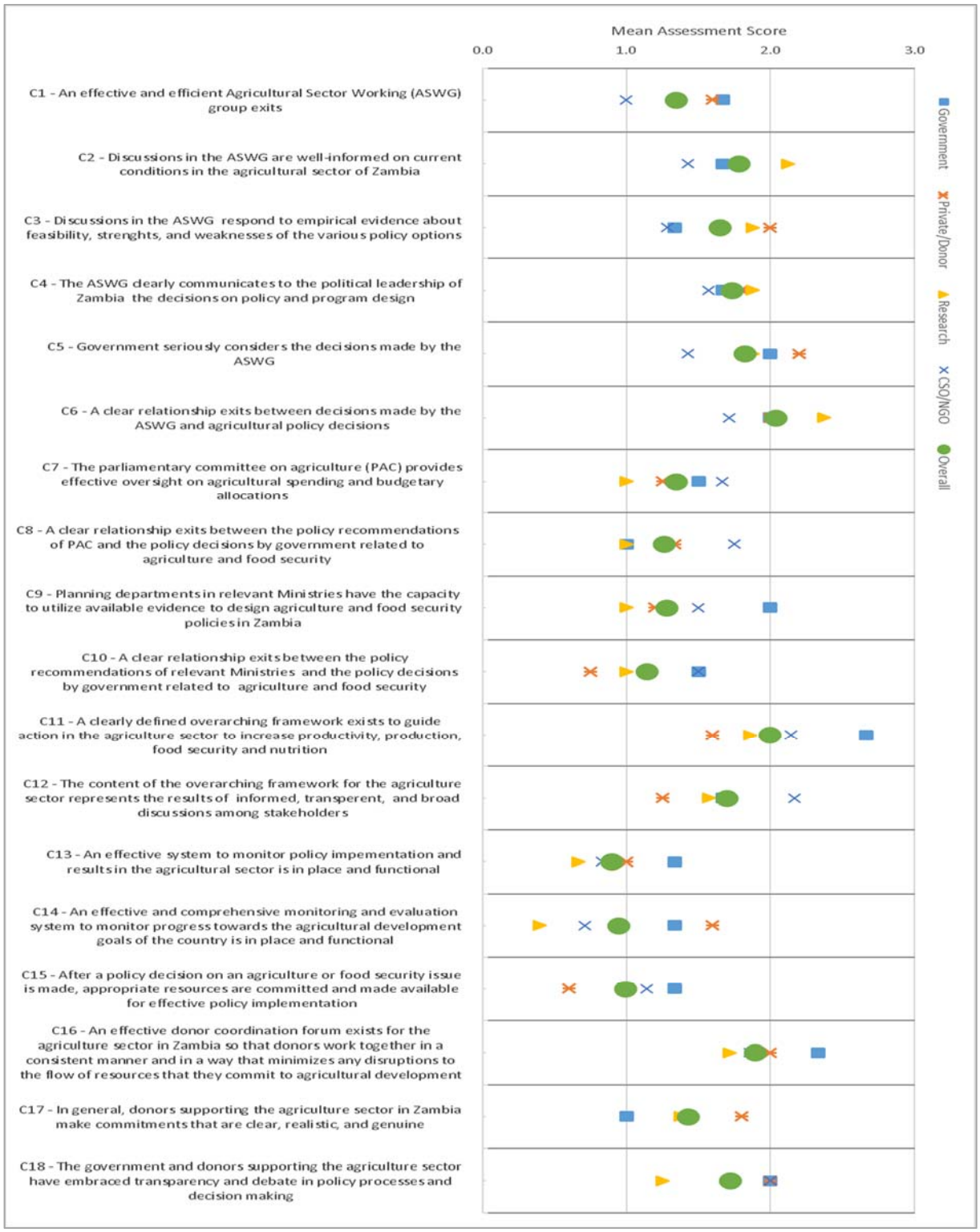
4. QUALITY OF INSTITUTIONAL ARCHITECTURE FOR AGRICULTURAL AND FOOD SECURITY POLICY PROCESSES IN ZAMBIA

Module C examined the quality of institutions, as well as the monitoring and implementation frameworks for agriculture and food security policy processes in Zambia. The questions in this module assessed the degree to which institutions involved in policy processes are effective and examined the capacity of these institutions to design and inform policy, and evaluate the performance of the agricultural sector. The institutions analyzed were the Agricultural Sector Working Group (ASWG) and the Parliamentary Committee on Agriculture (PAC).

The overall mean assessment score for the 19 questions on the quality of institutional architecture and policy monitoring in Module C is 1.51, again falling between the somewhat disagree and somewhat agree categories. This is a somewhat more negative response relative to Module B. The mean score for government respondents is 0.18 points higher than the mean score for non-government respondents (Figure 2). Overall, these results suggest that there is room to strengthen and reconfigure the institutional architecture and monitoring frameworks to support agriculture and food security policies in Zambia. There are appreciable differences in the mean scores for individual questions and among the five respondent categories. Some of the main insights from Module C include the following:

- The mean score to the statement - an effective and efficient ASWG exists is 1.35, suggesting that most of the respondents somewhat disagree with this statement. However, respondents were more inclined to somewhat agree with the perception that discussions in the ASWG are well informed on current conditions in the agricultural sector, that empirical evidence is utilized to assess policy options, and that decisions made by the ASWG are communicated back to political leadership in Zambia (C1-C4).
- It also appears from the assessment that more respondents were in agreement that government seriously considers decisions made by the ASWG and that a clear relationship exists between these decisions and agricultural policies (C5 and C6).
- Compared to ASWG, respondents were less agreeable that PAC provides an effective oversight on agricultural spending and that there is a clear relationship between recommendations from PAC and government policy decisions (C7 and C8).
- There are diverse views on the existence of an overarching framework to guide agricultural and food security policies (C11) with government respondents giving this indicator highest rating, while non-governmental respondents giving it a significantly lower rating.
- The overall perception of the respondents across all categories of stakeholders is that there is neither an effective system to monitor policy implementation and results in the agricultural sector (C13) nor an effective and comprehensive monitoring and evaluation system to measure progress towards agricultural development goals (C14). Respondents also somewhat disagree that resources are made available to support implementation once a policy is announced (C15). These three indicators (C13-C15) received one of the lowest ratings among all the 19 statements included in Module C.
- Donors supporting the agriculture sector in Zambia seem to have an effective coordination forum that does not disrupt the flow of resources committed to the sector (C16).

Figure 2. Mean Assessment Score of Perceptions on the Quality of Institutional Architecture for Agriculture and Food Security Policy Processes in Zambia, by Institution Type (Module C)



Note: The mean score is the average of four assessment levels: 0 for completely disagree, 1 for somewhat disagree, 2 for somewhat agree and 3 for completely agree.

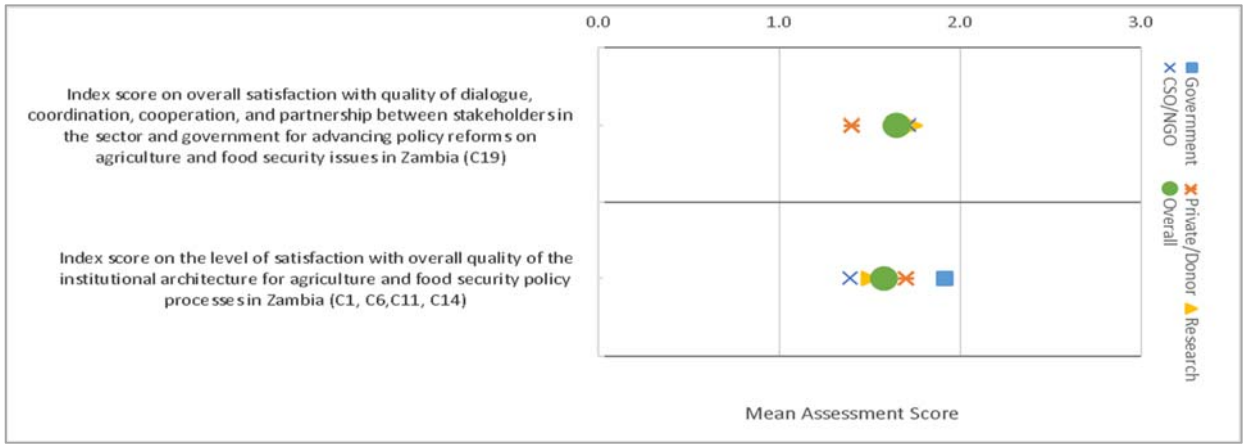
5. OVERALL QUALITY OF AGRICULTURAL AND FOOD SECURITY POLICY PROCESSES IN ZAMBIA

Survey responses from Module C were also used to generate baseline indices for the FSP activities in Zambia. These indices measure the overall stakeholder perceptions on the quality of agricultural and food security policies and the overall quality of the institutional architecture in the country. Question C19 which asked respondents to give their rating on *How satisfied are you today with the overall quality of dialogue, coordination, cooperation, and partnership between stakeholders in the sector and government for advancing policy reforms on agriculture and food security issues in Zambia* captures the first index on the quality of policy processes. The second index on the quality of institutional architecture was computed following the method used by Benson et al. (2016) as an aggregate score for questions C1, C6, C11 and C14 on whether an efficient Agriculture Sector Working group exists (ASWG), that decisions of the ASWG are aligned with agricultural policy, that there is an efficient overarching framework that guides action in the agriculture sector and that there is an effective and comprehensive monitoring and evaluation framework that measures progress in agricultural development.

Figure 3 reports these results. An average score of 1.65 for the first index is in line with the findings by Martin and Chileshe (2014) that stakeholders in Zambia are not satisfied with the overall quality of dialogue, coordination, cooperation, and partnership between stakeholders in the sector and government for advancing policy reforms on agriculture and food security issues in Zambia. The results are fairly consistent across all institution types.

The aggregate index for the overall quality of institutional architecture is even worse with an overall mean score of 1.59. There are wide variations in the score for this index across institution types. Generally, government respondents were more optimistic that the ASWG is effective and that there is a clear overarching framework guiding action in the agriculture sector than non-government respondents. On the other hand, respondents from research organizations were more satisfied that a clear relationship exists between decisions by the ASWG and agricultural policy decisions but less agreeable that there is an effective and comprehensive monitoring and evaluation framework to monitor progress towards agricultural development goals in the country.

Figure 3. Mean Assessment Score of Perceptions on the Overall Quality of Agriculture and Food Security Policies and Institutional Architecture in Zambia, by Institution Type (Module C)



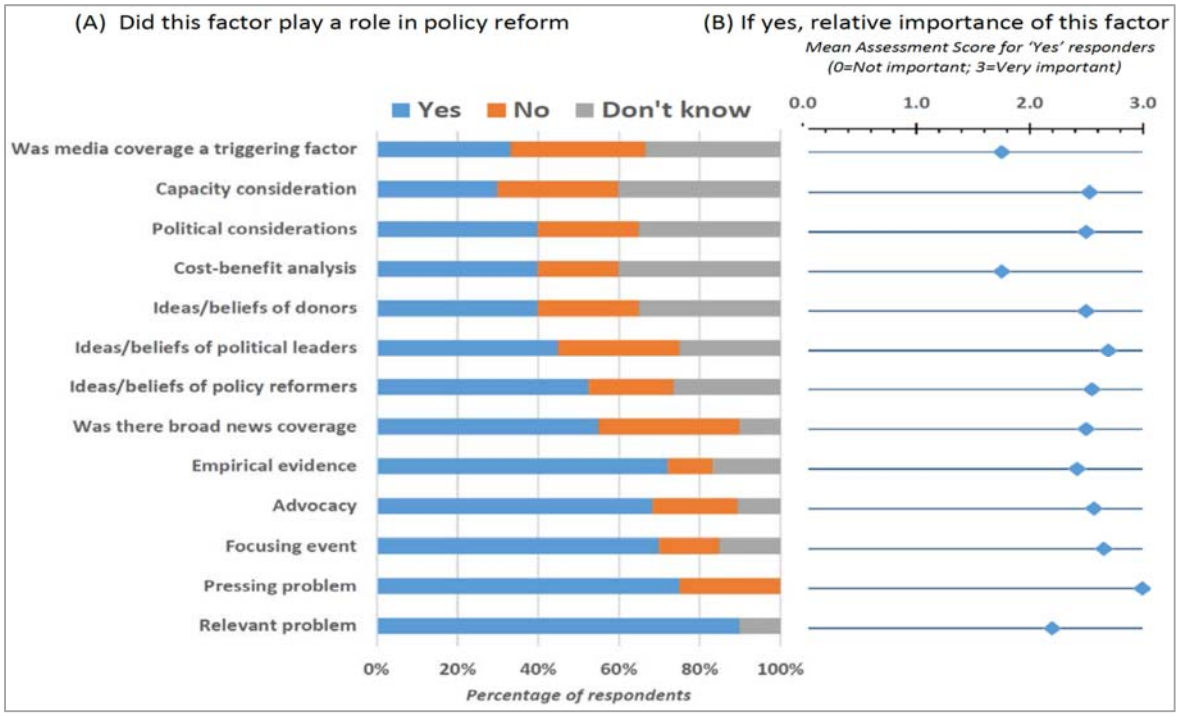
Note: The mean score is the average of four assessment levels: 0 for completely disagree, 1 for somewhat disagree, 2 for somewhat agree and 3 for completely agree.

6. POLICY PRIORITIES AND THEIR DESIGN

Module D focused on testing the concepts of the Kaleidoscope model (Resnick et al. 2015) to gain a better understanding of drivers of policy change. Respondents were asked to select one of the following two policy reforms recently implemented in Zambia: 1) Electronic voucher based implementation of the Farmer Input Support Program (E-FISP); and 2) Open border policy for maize implemented in 2015 and the subsequent reversal of this policy. For the selected policy, respondents were then asked to indicate which of the 13 factors or drivers of policy change played an effective role in contributing to that policy change, and how important was the contribution of a given factor (on a scale of 0=not important and 3=very important). This list of potential influencing factors was drawn from the Kaleidoscope model (K-model) of policy change and included a broad range of factors from the influence of focusing events, advocacy, the nature of the problem (relevant or pressing), political considerations, and role of empirical evidence, cost-benefit analysis, and media coverage.

About 86% of the respondents selected the E-FISP policy reform as the case example. Hence, this section focuses on responses related to the E-FISP reform and not the open border policy for maize (which was selected by only 3 respondents). For each of the factors drawn from the K-model, two types of results are presented in Figure 4, both reflective of the perceptions and opinions of the respondents. We present the percentage of respondents who indicated 'yes,' 'no' or 'don't know,' to the question on whether a given factor played a role in influencing the E-FISP policy reform. For those that indicated 'yes', the mean assessment score on the relative importance of that factor is presented in Panel B, Figure 4.

Figure 4. Perceptions on the Role (Panel A) and Relative Importance (Panel B) of Selected Factors in Influencing the Policy Change from the Conventional Farmer Input Support Program (FISP) to the Electronic Voucher Based FISP (E-FISP) in Zambia



Policy addressing a relevant problem was cited as a main driver of policy change by most of the respondents who selected E-FISP as the focused example of policy reform. About 50% or more of the respondents felt that broad news coverage, use of empirical evidence, advocacy, some sort of focusing events, and the pressing problems addressed by the program prompted the policy change from the traditional FISP to E-FISP (Panel A). Among the factors considered, the majority of the respondents selected the nature of the problem addressed as the main driver of policy change, followed by focusing event(s), advocacy and the use of empirical evidence.

Panel B shows that except for 'cost-benefit analysis considerations and media coverage' serving as triggers for policy change, all other factors were ranked by 'yes' responders in the range of 'important' to 'very important', suggesting that these factors were vital to the E-FISP policy change. The top four highest-ranking factors for policy change include pressing problem, focusing event(s), ideas/beliefs of political leaders, and advocacy (Panel B, Figure 4).

Comments by the respondents in support of their assessments provided the following insights on the factors influencing this policy reform in Zambia:

- **Focusing event:** The change in the party in Government from the Movement for Multiparty Democracy (MMD) to the Patriotic Front (PF), and changes in Ministers of Agriculture were mentioned by many as focusing events that facilitated policy change to E-FISP. Some respondents felt that the PF regime was more amenable to this policy change because E-FISP facilitates agricultural diversification, which is a key pillar in the party's manifesto. One respondent from a research institution added, *"The [new] Minister of Agriculture under PF took the initiative to push for E-FISP pilot and managed to convince the President to launch the program."* Respondents also said that the Agricultural Indabas held in March and April 2015 were important catalysts for the E-FISP policy change.

- **Advocacy:** Respondents felt that several private, research, donor, non-governmental and civil society organizations played a key role in lobbying government to implement E-FISP. Among the important players was the Zambia National Farmers Union (ZNFU) who provided a prototype on which the E-FISP was structured. Musika Development Initiatives trained agro-dealers, and the Indaba Agricultural Policy Research Institute (IAPRI) through policy analysis and outreach activities highlighted the limitations of the traditional FISP and made a case for E-FISP. The Centre for Trade Policy and Development (CTPD) and several other NGOs and CSOs also participated in lobbying for E-FISP and highlighted the flaws in the traditional FISP.

- **Relevant problem:** Most respondents felt that the need to address perennial problems of low agricultural productivity, food insecurity, and rural poverty played a big role in the policy change to E-FISP. E-FISP improves input subsidy targeting and reduces costs of implementation. One respondent said that, "Even though it has not been fully implemented and [it] still has various shortcomings, it [E-FISP] is more transparent, which leads to less fraud and corruption and it also benefits the intended beneficiaries." Others said that the need to address the high cost of the input subsidy was a big push for policy change. Commenting on cost implications, a respondent said, "[E-FISP] is an effective delivery system of input subsidies that crowds in private sector and promotes agricultural diversification. With the implementation of the e-voucher, government will save public

resources that are usually wasted through input procurement, distribution, and rent seeking behavior of some participating players."

- **Pressing problem:** Many respondents felt that there was an urgent need to change the input delivery system from one based on an inefficient, corruption laden, and increasingly costly traditional FISP to a more efficient system, and this played a key role in effective policy change. One respondent said *"*…[E-FISP] was required to reduce the cost of FISP, make it more efficient, by targeting relevant farmers, and get rid of ghost farmers….there was a crisis of lack of transparency and an immediate threat of large scale fraud in the traditional FISP."

- **Empirical evidence:** Most respondents felt that research evidence from mainly IAPRI and its predecessor, the Food Security Research Project (FSRP) played a pivotal role in highlighting the challenges with the traditional FISP and made specific recommendations for modifying the E-FISP. These intuitions working with donor agencies and other stakeholders continually made the case for policy change in the input support program for over five years prior to when the E-FISP policy came to effect.

7. CONCLUSION

The aim of this 2016 survey was to provide stakeholder assessments of the perceived quality and design of agriculture and food security policy processes, and on the quality of the institutional architecture supporting these processes in Zambia. The plan is to conduct a similar survey in 2018 and compare the results to track whether and in which direction the quality of agricultural and food security policy processes and institutional architecture in Zambia is changing over time.

The overall mean scores from this 2016 survey indicate that while there are positive aspects of the policy processes that are in place (very strong for some policy elements), there is scope for improvements. In particular, the agricultural and food security policy processes in Zambia could be more inclusive by engaging more with stakeholders and by more effectively utilizing the available empirical evidence to inform policy design. Moreover, stakeholders in some quarters expressed concerns whether the policy analysis activities in Zambia are impartial and free from influence by interested parties.

There is also scope to strengthen the monitoring and evaluation systems of progress towards the agricultural development goals and make resources available to support policy implementation. The institutions supporting agricultural and food security policy processes need strengthening. In particular, the roles of the Agricultural Sector Working Group and the Parliamentary Committee of Agriculture can be strengthened to provide oversight in the sector. Better quality policy processes will improve not only the performance of the agricultural sector, but also the livelihoods of the masses employed in the agri-food sector in Zambia.

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ANNEX 1

Zambia FSP Baseline Questionnaire

Consent Statement

This survey is part of a joint effort by the global Food Security Policy (FSP) and the Indaba Agricultural Policy Research Institute to study the institutional architecture and quality of policy processes on agriculture and food security in Zambia. FSP is managed by Michigan State University (MSU) with funding from the United States Agency for International Development (USAID). Similar surveys are being conducted by the FSP project in other countries in Africa and Asia to derive "best practice" lessons on strengthening policy processes on agriculture and food security issues. Survey respondents will be contacted again in two years to obtain from them an updated assessment on the topics covered in this survey in order to better understand any changes in the institutional architecture or in the quality of policy processes on agriculture and food security in Zambia. You are free to voluntarily choose to participate in this survey, refuse to answer certain questions, or stop participating at any time without any loss or harm to you. If you choose to participate, your help in answering these questions is greatly appreciated. Your responses will be kept completely confidential to the maximum extent allowable by law. Your responses will be summed together with those from other stakeholders in Zambia and possibly from other countries. Only general averages from the analysis will be reported. For any questions about the study, contact *<name and email>* By continuing with this survey, you indicate your voluntary consent to participate in this study.

Section A: Background Information

A1. Name:	
A2. Position:	
A3. Organization:	

A4. Years at organization: ☐

A5. Total years of experience with agriculture and food security policy issues in Zambia: ☐

A6. Is your organization a member of the Agricultural Sector Working Group or other similar taskforce or steering committee on agriculture or food security issues?:

◯ *1-Yes* ◯ *2-No*

A6a. Please indicate which ones: (need list)

☐

A7. How would you rate the influence your organization has on agriculture and food security policy change in Zambia?

◯ *0=no influence* ◯ *1=limited influence* ◯ *2=moderate influence* ◯ *3=high influence*

Please rate each of the following statement on a scale of 0 to 3, where:
0 = you highly disagree/are completely dissatisfied;
1 = somewhat disagree/are somewhat dissatisfied;
2 = somewhat agree/are somewhat satisfied; and
3 = you highly agree/are completely satisfied.
(If the question is not applicable or you do not know, mark 'NA/DK'.)

All the statements refer to the policy environment in Zambia as of December 2015 (prior to 2016) for the broad agriculture sector, including issues relating to food security. You may, if you wish, add a comment in the space provided under each statement to elaborate your response.

*The term '**stakeholder**' is used here to collectively include representatives from the private sector, civil society actors, NGOs, research organizations, the donor community, producer organizations, citizen's groups, etc. that are active **in Zambia** on agriculture and food security policy issues. The term exclude government institutions. Government institutions are collectively referred to as "**government**".*

*The term '**policy**' as used here includes the content of master development frameworks for Zambia, sector strategies, sub-sector strategies, public investment plans, proposed legislation and regulations, and the design of public programs.*

Section B: Quality of Agriculture and Food Security Policy Processes in Zambia

B1. How would you rate the level of dialogue on agriculture and food security issues between government sector representatives and other stakeholders? Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B2. How would you rate the level of dialogue and coordination ***between*** government institutions on agriculture and food security policy design and implementation? Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B3. **Stakeholder perspectives** on agriculture and food security policies are listened to and considered **closely by government** Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B4. The perspectives of **your institution** in these policy dialogues on agriculture and food security issues are listened to and considered **closely by government** Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯

B5. **Small-scale farmers** or their representatives effectively participate and are consulted by government in policy dialogues on agriculture and food security issues? Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B6. **Commercial farmers** or their representatives effectively participate and are consulted by government in policy dialogues on agriculture and food security issues Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B7. The **private sector** effectively participates and is consulted by government in policy dialogues on agriculture and food security issue Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B8. **Civil society organizations (CSOs) and non-governmental organizations (NGOs)** effectively participate and are consulted in policy dialogues on agriculture and food security issues Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B9. **Donors supporting** the agriculture sector in the country effectively participate and are consulted in policy dialogues on agriculture and food security issues Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B10. Policy processes on agriculture and food security issues are timely and focused on addressing pressing and important issues related to the agriculture sector Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B11. Agriculture and food security policies are effectively guided by overarching development or investment plans, such as the CAADP National Agricultural Investment Plan or the National Agricultural Plan Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
B12. Policy dialogues on agriculture and food security issues can be characterized as well-informed with a clear understanding of the feasibility, strengths, and weaknesses of the policy options being considered Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯

B13. The performance of the agriculture sector is regularly assessed in an open, transparent, and timely manner by government

Comment (if any):

◯-0 1-◯
◯-2 3-◯
NA/DK-◯

B14. The assessment of the performance of the agriculture sector actively involves representatives from:

	0 = you completely disagree/ dissatisfied	1 = somewhat disagree/ dissatisfied	2 = somewhat agree/are somewhat satisfied; and	3 = you highly agree/are completely satisfied.	NA/DK
a. Producers	◯	◯	◯	◯	◯
b. Donors	◯	◯	◯	◯	◯
c. The private sector in agriculture	◯	◯	◯	◯	◯
d. CSOs	◯	◯	◯	◯	◯
e. NGOs	◯	◯	◯	◯	◯

Comment (if any):

B15. A publicly transparent data and information sharing system makes evidence-based assessments available to inform discussions and decisions in policy processes for agriculture and food security policy

Comment (if any):

◯-0 1-◯
◯-2 3-◯
NA/DK-◯

B16. Available evidence in the form of data and results of rigorous analysis is frequently used in policy processes on agriculture and food security issues

Comment (if any):

◯-0 1-◯
◯-2 3-◯
NA/DK-◯

B17. Capacity exists in the country to effectively conduct independent policy analysis on agriculture and food security policy issues

Comment (if any):

◯-0 1-◯
◯-2 3-◯
NA/DK-◯

B18. Agricultural policy analysis undertaken by research organizations based in the country is considered objective and not influenced by interested parties

Comment (if any):

◯-0 1-◯
◯-2 3-◯
NA/DK-◯

Section C: Quality of institutional architecture for agriculture and food security policy processes in the country

C1. An effective and efficient **Agricultural Sector Working Group** exists Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C2. Discussions in the Agricultural Sector Working Group are well-informed on current conditions in the agriculture sector of Zambia Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C3. Discussions in the Agricultural Sector Working Group respond to empirical evidence about the feasibility, strengths, and weaknesses of the various policy options proposed Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C4. The Agricultural Sector Working Group clearly communicates to the political leadership of Zambia the decisions on policy and program design it makes Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C5. Government seriously considers the proposals made by the Agricultural Sector Working Group Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C6. A clear relationship exists between decisions made by the Agricultural Sector Working Group and agricultural policy decisions Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C7. The Parliamentary Committee on Agriculture provides effective oversight on agricultural sector spending and budgetary allocations Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C8. A clear relationship exists between the policy recommendations of the Parliamentary Committee on Agriculture and the policy decisions made by the government related to agriculture and food security Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯

C9. The planning departments within relevant Ministries have the capacity to utilize available evidence to design agriculture and food security policies in Zambia Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C10. A clear relationship exists between the policy recommendations of relevant Ministry planning departments and the policy decisions made by the government related to agriculture and food security Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C11. A **clearly defined overarching policy framework** exists to guide action in the agriculture sector to improve agricultural productivity, increase production, boost food security, and enhance nutrition Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C12. The content of the overarching policy framework for the agriculture sector represents the results of informed, transparent, and broad discussions among stakeholders in the sector Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C13. An effective system to **monitor policy implementation and results** in the agriculture sector is in place and functional Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C14. An effective and comprehensive **monitoring and evaluation system to monitor progress towards the agricultural development goals** of the country is in place and functional Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C15. After a policy decision on an agriculture or food security issue is made, appropriate resources are committed and made available for effective policy implementation Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C16. An effective donor coordination forum exists for the agriculture sector in Zambia so that donors work together in a consistent manner and in a way that minimizes any disruptions to the flow of resources that they commit to agricultural development Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯

C17. In general, donors supporting the agriculture sector in Zambia make commitments that are clear, realistic, and genuine Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C18. The government and donors supporting the agriculture sector have embraced transparency and debate in policy processes and decision making Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯
C19. How satisfied are you today with the overall **QUALITY** of dialogue, coordination, cooperation, and partnership between stakeholders in the sector and government for advancing policy reforms on agriculture and food security issues in Zambia Comment (if any):	◯-0 1-◯ ◯-2 3-◯ NA/DK-◯

Section D: Factors that policy priorities for agriculture and food security issues and the design of the policies or programs considered

Following are examples of some important agriculture or food security policy change or reform that has taken place in Zambia in the past five years.

D1a. Please **select one of these policy reforms** you are most familiar with (*select one*):

◯ 1. Electronic voucher for FISP

◯ 2. Open border policy for maize in 2015 and the subsequent reversal of this policy.

In your assessment, which of the following factors played an effective role in contributing to the policy change or reform you selected above, and how important was the contribution of a given factor.

Contributing Factor	(a) Factor played role in above policy reform?	(b) If YES, please identify and describe this factor in the context of the above policy change	(c) Relative importance of factor 0 = not important 3 = very important
D2. Did some type of a **focusing event** occur that brought the issue to the forefront of the policy agenda (e.g., change in government leadership, food security crisis, natural disaster, international initiatives or declarations, etc.)?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D3. Did an **advocacy group** (or groups) play an important role in the process by pushing the issue onto the policy agenda?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D4. Does the policy issue address a **relevant problem** for key segments of the population of the country?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D5. Did the policy action taken reflect a response to a **pressing problem** (i.e., a problem forced on policy makers to address due to crises, immediate threats, or external circumstances)?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D6a. Was there **broad news coverage** in the local media on the problem and the underlying issues?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D6b. If 'yes', was this media attention a factor in triggering the policy change?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3

Contributing Factor	(a) Factor played role in above policy reform?	(b) If YES, please identify and describe this factor in the context of the above policy change	(c) Relative importance of factor 0 = not important 3 = very important
D7. Was the **design** of the policy shaped or strongly **influenced by the ideas and beliefs** of the leaders of the policy reform effort?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D8. Was the **design** of the policy shaped or strongly **influenced by the ideas and beliefs** of the political leadership of the country?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D9. Was the **design** of the policy shaped or strongly **influenced by the ideas and beliefs** of donors supporting the agriculture sector in Zambia?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D10. Was the **design** of the policy shaped or strongly **influenced by evidence** from policy research or by researchers?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D11. Were the choices on the **design** of the policy shaped or strongly influenced by **financial cost-benefit** considerations?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D12. Were the choices on the **design** of the policy shaped or strongly influenced by considerations of available **human, institutional, or administrative capacity**?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3
D13. Were the choices on the **design** of the policy shaped or strongly influenced by **political considerations**?	◯ 1-yes ◯ 2-no ◯ 3-don't know		◯ -0 ◯ -1 ◯ -2 ◯ -3

THANK YOU FOR YOUR TIME TO PARTICIPATE IN THIS SURVEY