



# FEED THE FUTURE

The U.S. Government's Global Hunger & Food Security Initiative



## Drivers of Policy Change: The Kaleidoscope Model

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# Outline

1. Overview of the Kaleidoscope model
2. Case Study Application – Zambia  
micronutrient policy

# I. Overview of the Kaleidoscope Model

## Motivation:

- Achieving **policy impact** requires a deep understanding of the national **policy process**
- Increased research and initiatives on policy process
  - *UNU-WIDER and Pinstrup-Andersen (2014), Future Agricultures Consortium*
  - *Transform Nutrition, Scaling Up Nutrition, LANSA*
  - *Land Governance Assessment Framework, Land Policy Initiative*
- USAID's Food Security Project offers opportunity to draw inspiration from, and expand upon, these efforts

# Objectives

- Offer practical, flexible, empirically-informed model for analyzing policy change in multiple food security domains in very diverse settings
- Integrate theoretical insights from economics, political science, and public administration
- Provide testable framework that simultaneously considers different elements of the policy process and investigates many implicit operational hypotheses of policy change within the policy community
- Better integrate diverse professional communities on issues of policy process

# Hypotheses underlying donors' policy efforts

	<b>Hypotheses</b>	<b>Operational examples</b>
<b><i>Monte Carlo</i></b>	Changes in the payoff matrix influence the likelihood and direction of public investments and policy change.	<ul style="list-style-type: none"> <li>• Policy lending, 1960s</li> <li>• SAPs, 1980s</li> <li>• CAADP investment plans, 2000s</li> </ul>
<b><i>Sherlock Holmes</i></b>	Better empirical evidence leads to better policies.	<ul style="list-style-type: none"> <li>• IFPRI, HIID, ReSAKSS</li> <li>• UN - HLPE, HLTF, SCN</li> </ul>
<b><i>Contagion Inoculation</i></b>	Policy inoculation, by showcasing prominent policy “success stories,” can spur international emulation.	<ul style="list-style-type: none"> <li>• SUN initiative</li> <li>• Abuja Fertilizer Summit</li> </ul>
<b><i>Frank Lloyd Wright</i></b>	Institutional architecture and mechanisms of mutual accountability matter. Open, transparent, inclusive, evidence-based policy processes improve policy outcomes.	<ul style="list-style-type: none"> <li>• CAADP peer-reviewed country investment programs</li> <li>• Joint Sector Reviews</li> <li>• GAFSP</li> <li>• New Alliance</li> </ul>
<b><i>Hercules</i></b>	Champions of policy change can overcome flawed institutional architecture to effect policy change.	<ul style="list-style-type: none"> <li>• Africa-Lead “Champions of Change”</li> <li>• AGRA policy champions</li> <li>• Transform Nutrition Champions</li> </ul>
<b><i>Dark Knight's Dilemma</i></b>	Concentrated pecuniary gains motivate powerful, self-interested policy advocates.	<ul style="list-style-type: none"> <li>• Vested interests lobby for continued favorable treatment</li> </ul>
<b><i>Masters of the Universe</i></b>	Top-down negotiations and high-level commitments can enable and enforce policy change.	<ul style="list-style-type: none"> <li>• New Alliance agreements</li> <li>• CAADP regional compacts</li> </ul>

# Policy Process Theories

Dominant view of the state	What shapes actors' behavior?		
	<i>Interests</i>	<i>Institutions</i>	<i>Ideas and Identity</i>
<b><i>Captured by society</i></b>	Public choice theory		
	Marxism		
<b><i>Autonomous from society, unitary preferences</i></b>	Elitist theory	Street level bureaucrats	
	Corporatism		
	Developmental states		
<b><i>Interactive with society, diverse preferences</i></b>	Multiple streams		
		Punctuated equilibrium	
		Policy paradigms	
	Policy networks theory		
		Advocacy coalitions	
		Social construction theory	

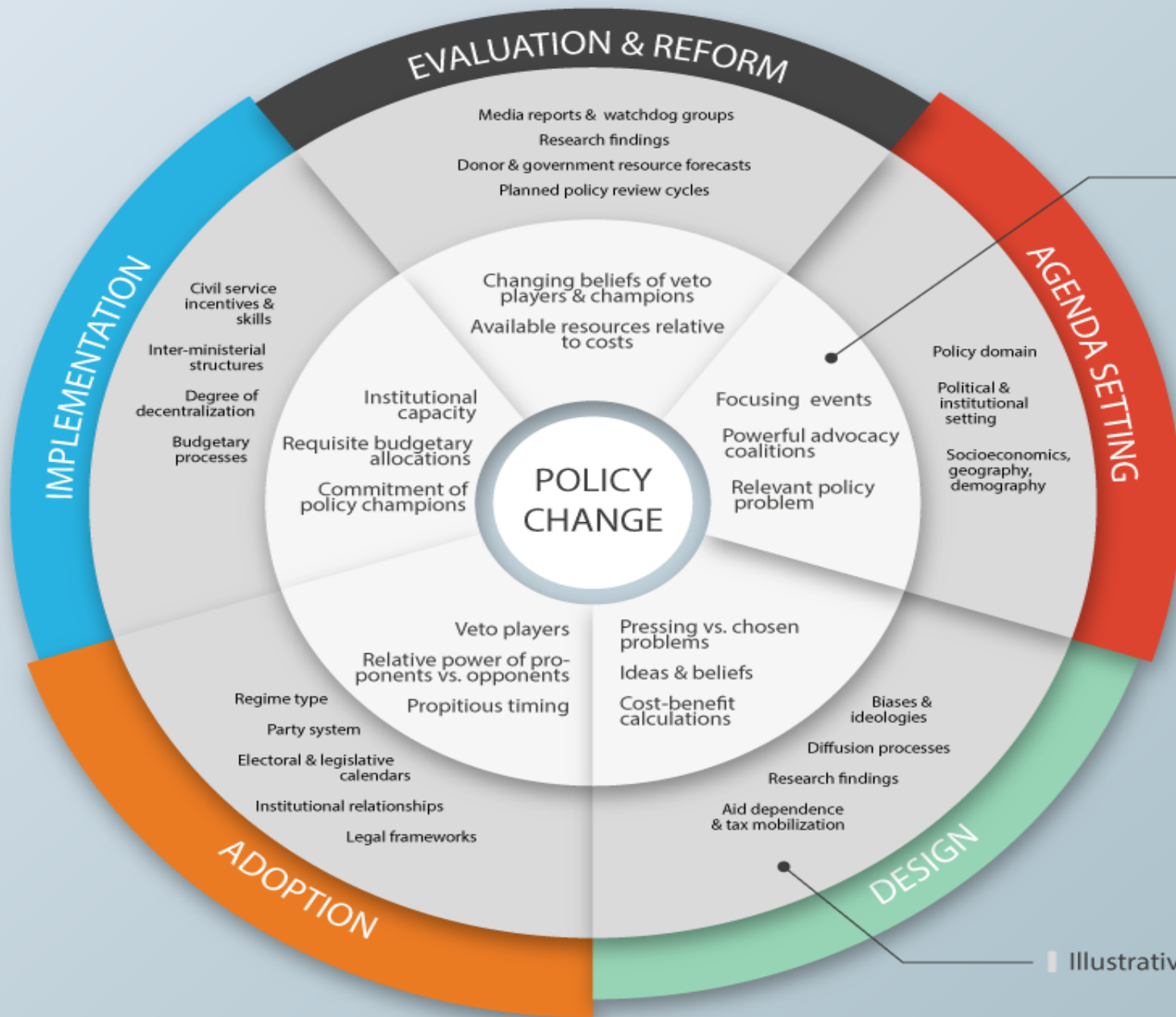
# Approach

- Inductively derived by comparing existing case studies of policy change in developing regions in domains related to food security (*e.g. health, education, agriculture, social protection*)
- Macro variables were identified across cases that were consistently important in explaining why a policy reached a particular stage of the policy process
- Attention given to highlighting necessary and sufficient conditions for policy change to occur

# Kaleidoscope Model

- Aims to explain why some small changes cumulate into major policy changes while others do not
- Emphasizes that each stage of the policy process reveals different constellation of key macro variables





Key Determinants of Policy Change

Illustrative Contextual Conditions

# Early Applications

Policy domain	Policy type	Focusing events	Wicked Problem?	Advocates	Primary stakeholders
<b>Fertilizer subsidies</b>	Distributive	<ul style="list-style-type: none"> <li>• Drought</li> <li>• World price spikes</li> <li>• High-level events (Abuja Declaration)</li> </ul>	Yes	<ul style="list-style-type: none"> <li>• Elected politicians</li> <li>• Fertilizer companies</li> <li>• Public figures</li> </ul>	<ul style="list-style-type: none"> <li>• Farmers</li> <li>• Donors, taxpayers</li> <li>• Ministries of finance, agriculture</li> <li>• Fertilizer companies, distributors, transporters</li> </ul>
<b>Micronutrient interventions</b>	Distributive	<ul style="list-style-type: none"> <li>• High-level international conferences and targets (SUN, MDGs)</li> </ul>	No	<ul style="list-style-type: none"> <li>• Public health practitioners and research community</li> <li>• NGOs</li> <li>• Donors</li> </ul>	<ul style="list-style-type: none"> <li>• Vulnerable populations</li> <li>• Agribusiness firms</li> <li>• Ministries of health, agriculture, finance</li> </ul>
<b>Land tenure reforms</b>	Redistributive	<ul style="list-style-type: none"> <li>• Food &amp; fuel crisis</li> <li>• Land grabs</li> <li>• High-level initiatives (LGAF, LPI)</li> </ul>	No	<ul style="list-style-type: none"> <li>• Government officials</li> <li>• NGO community</li> <li>• Research community</li> <li>• Donors</li> </ul>	<ul style="list-style-type: none"> <li>• Smallholders</li> <li>• Commercial farmers</li> <li>• Foreign investors</li> <li>• Ministries of agriculture, land and housing, environment</li> </ul>

## 2. Case Study Application – Zambia Vitamin A Fortification

### Kaleidoscope Policy Tools:

- a. Policy chronology
- b. Policy system schematic
  - Agricultural policy
  - Nutrition policy
- c. Stakeholder inventory and mapping
- d. Circle of influence

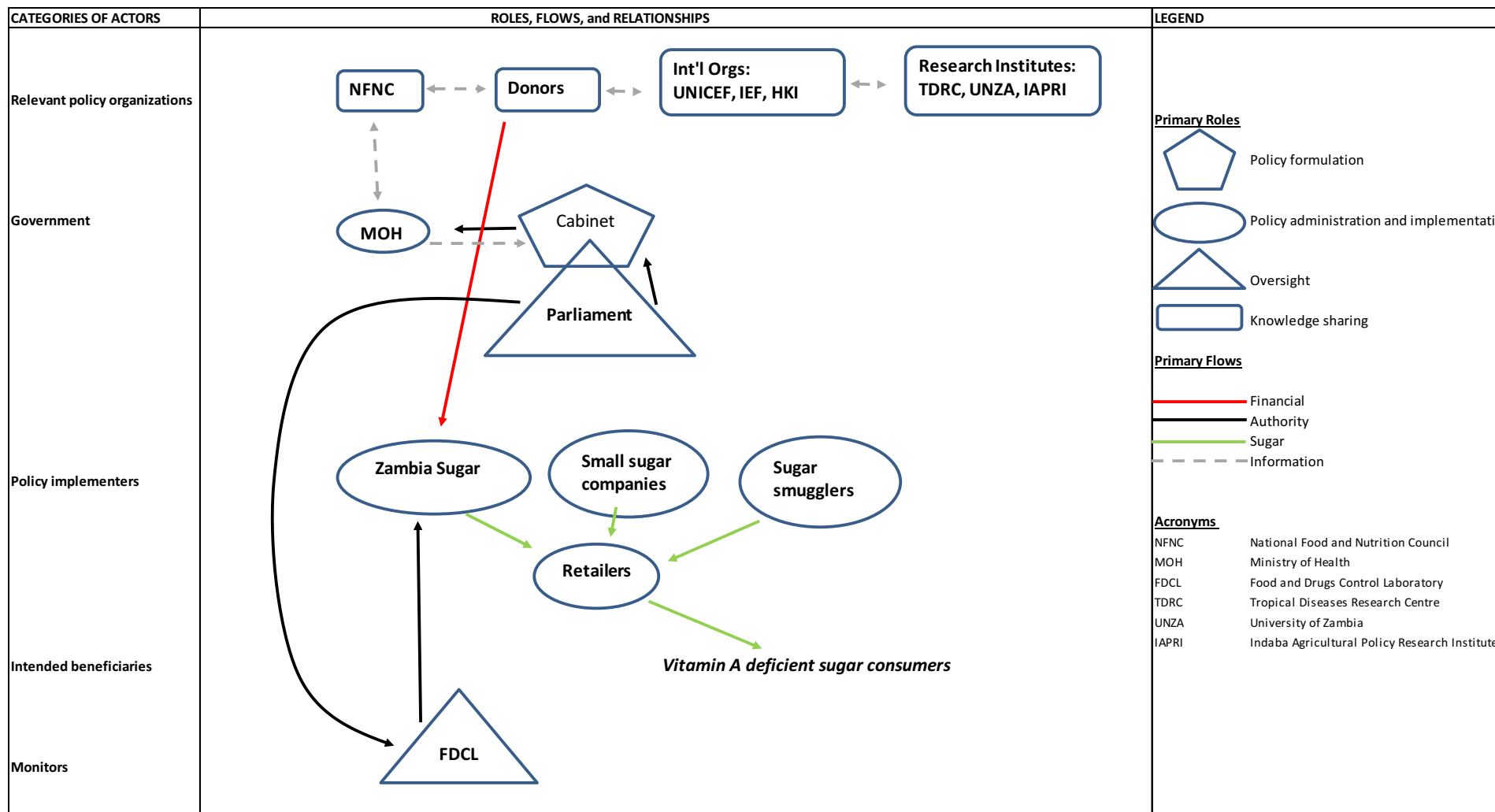
# a. Policy chronology - detailed

	Date	Actor	Action
	1978	parliament	mandates Vitamin A fortification of margarine
	1990	MOH	Vitamin A supplementation begins to children 6-72 months and lactating mothers
	1992	NFNC	initiates discussions with MOH on effectiveness of supplementation
	1993	Fortification Task Force	National Task Force for the Control of Micro-nutrient Malnutrition established (VAD, iodine, iron)
	1995	Zambia Sugar	Privatized by GOZ and purchased by Tate and Lyle
	1996	DHS survey	Findings: 68% population Vitamin A deficient
	1996	NFNC	Consensus forms that supplementation is insufficient due to high cost, low coverage
	1996	USAID	funds National Survey on Vitamin A Deficiency in Zambia
	1996	NFNC	finds supplementation reaches only 28% of under-five children and 14% post-partum mothers yet 65% supplementation coverage necessary to reduce Vitamin A deficiencies
May	1996	NFNC	convenes workshop on options for combatting Vitamin A deficiency
			maize fortification is primary focus; ultimately determined infeasible due to thousands of hammer mills
Oct	2000	NFNC	establishes and coordinates Sugar Fortification Technical Committee
	1997	USAID consultant (Dr. Dary)	Examines case for sugar fortification; compares prior successful program in Guatemala
	1997	Zambia Sugar	expresses willingness to participate in VA fortification of sugar
		Zambia Sugar	demands public funding for necessary equipment, 1 year fortificant, legislation protecting national market from unfortified sugar
Sept	1997	MOH	national baseline survey on VAD
	1997	MOH	Expresses concern that mandatory fortification will leave a single monopoly supplier of sugar
	1998	Malawi Sugar	Supplies 25% of Zambia's sugar needs
	1998	Fortification Task Force	5 members visit Guatemala to investigate sugar fortification experience there; USAID funds travel
Dec	1998	parliament	Passes legislation mandating Vitamin A fortification of sugar (SI No. 155, December 18)
	2000	MOH	implements fortification requirement
May	2000	Zambia Sugar	launches fortified Whitespoon Sugar
July	2000	Zambia Sugar	expresses concern of 7 month delay implementing legislation: lack of legal protection (gazetting) against unfortified sugar
March	2000	Kalungwishi Estate	begins fortified sugar production; accounts for 1% of Zambian production fortification reduces profit by 20%
Dec	2000	Zambia Sugar	complains that Kalungwishi fortificant (from Roche) does not comply with regulations
Sept	2000	donors	express concerns about promoting sugar advertising as a "healthy" product
Oct	2000	USAID MOST project	sponsors training workshop on inspection procedures
Dec	2000	MOST project	tests Ilovo sugar; concludes most samples failed to meet minimum requirements
June	2000	TDRC	study of VAD; concludes only 7% of children receiving supplements or fortified sugar had VAD
Feb	2001	Zambia Sugar	Ilovo purchases Zambia Sugar PLC, supports mandatory VA fortification of sugar
	2001	Zambia Sugar	Raises sugar price 70%
	2001	traders	Smuggle large quantities of cheap (unfortified) sugar from Malawi
	2001	ZNFU	Patrols borders to prevent sugar smuggling
	2013	IAPRI researchers	study of sugar market concludes that VA fortification has led to monopoly control, high and rising sugar prices recommends study of alternative options such as biofortification of maize and sweet potatoes

## a. Policy chronology - simplified

Date	Actor	Action
1990	MOH	Vitamin A (VA) supplementation begins
1993	Micronutrient Task Force	established
1995	Zambia Sugar	Privatized
1996	DHS survey	Findings: 68% population Vitamin A deficient
1996	NFNC	convenes VA workshop
1996	NFNC	considers maize fortification, major millers object
1997	MOH	national baseline survey on VA deficiency (VAD)
1998	parliament	mandates sugar fortification
2000	NFNC	establishes Sugar Fortification Technical Committee
2000	MOH	implements fortification requirement
2001	Zambia Sugar	Raises sugar price 70%
2001	traders	Smuggle unfortified sugar from Malawi
2001	ZNFU	Patrols borders to prevent sugar smuggling
2013	IAPRI	sugar market study questions VA fortification

# b. Nutrition policy mapping

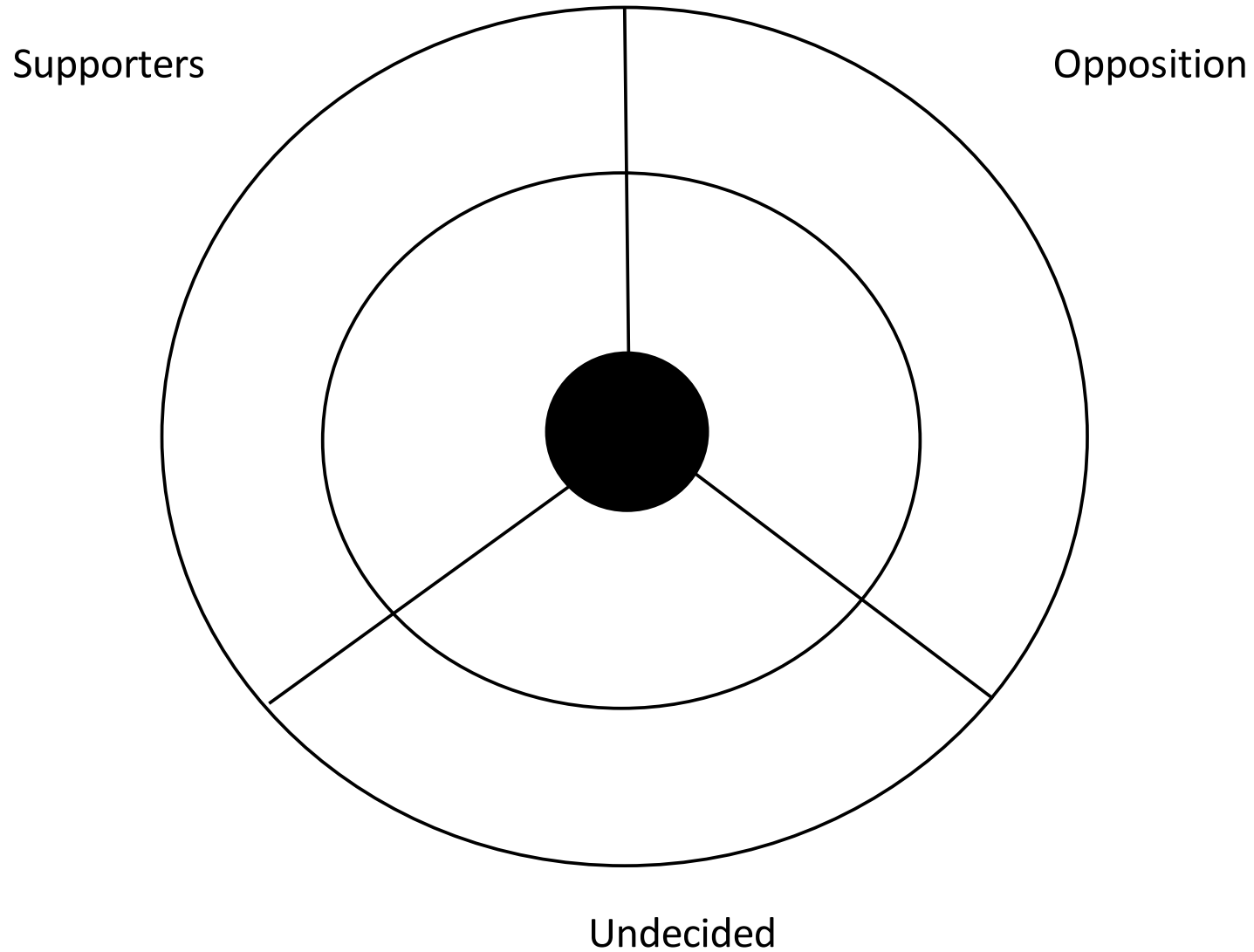


## c. Stakeholder inventory and assessment

### ***Key stakeholders:***

- Ministry of Health (MOH)
- National Food and Nutrition Council (NFNC)
- Zambia Sugar Co.
- Kalungwishi Estates
- Zambia Milling
- Zambia National Farmers' Union (ZNFU)
- USAID
- International Eye Foundation
- Helen Keller International (HKI)
- UNICEF
- Consumer Competition and Protection Commission (CCPC)
- Tropical Diseases Research Centre (TDRC)
- Food and Drugs Control Laboratory
- University of Zambia Nutrition Department (UNZA)
- Indaba Agricultural Policy Research Institute (IAPRI)

## d. Circle of influence





## Your assignment:

1. Each participant will receive a stakeholder profile at random from the stakeholder inventory list
2. Review your participant profile
3. Place a post-it note on the circle of influence graphic in the front of the seminar room in the appropriate location
4. Group discussion: Explain your stakeholder position to the full group