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Sida Decentralised Evaluation

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Mid-Term Review of the Indaba Agricultural Policy Research Institute (IAPRI)

Final Report

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May 2015**

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Ian Christoplos**

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

ACF	Agricultural Consultative Forum
APs	Adjunct Professors
AU	The African Union
CAADP	Comprehensive African Agricultural Development Programme
CFS	Crop Forecast Survey
CPTD	Centre for Trade Policy and Development
CSO	Central Statistics Office
CSOs	Civil Society Organisations
DfID	Department for International Development
FISP	Farmer Input Support Programme
FRA	Food Reserve Agency
FSRP	Food Security Research Project
GTAZ	Grain Traders Association of Zambia
ED	Executive Director
IAPRI	Indaba Agricultural Policy Research Institute
IDE	International Development Enterprises
ILO	International Labour Organisation
INESOR	Institute of Economic and Social Research
K	Kwacha
LCMS	Living Conditions Monitoring Survey
M&E	Monitoring and evaluation
MAL	Ministry of Agriculture and Livestock
MCTI	Ministry of Commerce, Trade and Industry
MoF	Ministry of Finance
MSU	Michigan State University
MUSD	Million United States Dollars
MSEK	Million Swedish kronor
NAIP	National Agricultural Investment Plan
NEPAD	New Partnership for Africa's Development
PHS	Post-Harvest Survey
RALS	Rural Agricultural Livelihood Survey
ReNAPRI	Regional Network of Agricultural Policy Research Institutes
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
SADC	Southern Africa Development Community
ToR	Terms of Reference

ABBREVIATIONS AND ACRONYMS

UNZA	University of Zambia
ZAMACE	ZambiaAgricultural Commodity Exchange
ZEAP	Zambian Economic Advocacy Project
ZNFU	Zambia National Farmers Union

Preface

This report, which has been commissioned by the Swedish Embassy in Lusaka, presents the Mid-term Review of the Indaba Agricultural Policy Research Institute in Zambia. The review assesses relevance, effectiveness and efficiency and provides recommendations.

The review was undertaken between February 2015 to May 2015 by an independent evaluation team consisting of:

- Cecilia Ljungman (Team Leader)
- Tadeyo Lungu (Agricultural Research Specialist)
- Ian Christoplos (Technical Expert and Quality Assurance Advisor)

Anna Liljelund Hedqvist managed the review process at Indevelop, which was implemented jointly with Tana Copenhagen. It was commissioned through Sida's Framework Agreement for Reviews and Evaluations with Indevelop. Zoole Newa managed the review at the Embassy of Sweden in Zambia.

Executive Summary

The Indaba Agricultural Policy Research Institute (IAPRI), which has non-profit status, was officially launched in February 2012. It has its roots in the Food Security Research Project (FSRP) that ran from 1999 to 2011. IAPRI's goal is to provide evidence-based advice on the agricultural sector at large. The Government of the Republic of Zambia is the principal beneficiary of the advice. IAPRI's mission is to conduct agricultural policy research, capacity development and outreach, serving the agricultural sector in Zambia so as to contribute to sustainable pro-poor agricultural development.

In 2013, IAPRI signed a five-year funding agreement with the Embassy of Sweden in Zambia amounting to 48 MSEK. The agreement includes undertaking an independent mid-term review of IAPRI in 2015. This report is the mid-term review of IAPRI. It assesses effectiveness, relevance and efficiency.

EFFECTIVENESS

IAPRI has made impressive progress in the short span of its existence. Thanks to the legacy of the FSRP, IAPRI could hit the ground running with its **research effort**. It has since produced a sizable amount of quality research that stakeholders have found both reliable and useful. While it has not met its own annual research output targets, it has produced more outputs in total than in the last three years of the FSRP. Ensuring from the start that the research work met high standards of productivity and quality – with some support from MSU – was a sound priority given the centrality of research for an institute like IAPRI.

Recognising that quality research alone will not lead to desired results, IAPRI has conscientiously stepped up its **outreach work** in the last year. It is diversifying its channels and means of communication and identifying new strategies to reach more stakeholders. There are indications that the policy discourse is moving into the public domain. As IAPRI develops its outreach activities, it will be critical to identify actors that can leverage IAPRI's research in their advocacy efforts. This has taken place to some extent already. There is, however, scope to broaden and deepen strategic alliances with this objective in mind.

IAPRI has aimed to be strategic in its **capacity development** efforts to serve its own objectives – including its more long-term goals. The training conducted has been highly appreciated. IAPRI's intention to give priority to its research and outreach work while being more discerning and restrictive about its capacity building work is a sound approach.

The credibility and respect gained from both its work and from being recognised as an indigenous and independent organisation has allowed IAPRI to play a **significant role in the national policy arena**. It has developed good relations based on trust with the government – but is equally appreciated by the private sector, civil society actors, legislators, international organisations and donors. It has thus earned the authority to convene the different parties and provide a platform for dialogue.

There is already evidence of IAPRI contributing to an **improved agricultural policy environment** – although this is mostly taking place in Lusaka. A demand for quality statistics and evidence based analyses has been created and the agricultural debate has become more focused. The platforms that IAPRI provides allows stakeholders to engage more actively than before. The general public has more access to analytical information about agricultural policy concerns than before.

The achievement of **actual policy shifts** has been relatively small compared to what stakeholders had hoped for by now. Nevertheless, maize meal subsidies have been dropped, respectable progress has been achieved in relation to operationalising the Agricultural Credit Act and there is at least a promise of introducing a voucher system for input subsidies in the coming year. Prospects of making more headway in the near future are deemed relatively good. On the other hand, if no significant progress is made in the upcoming period, stakeholders risk losing interest and faith.

RELEVANCE

IAPRI's research work is relevant to pro-poor agricultural growth in Zambia. The topics are chosen with the production of a public good in mind. IAPRI is also conscious of ensuring relevance in relation to emerging issues and has organised itself internally in this regard. IAPRI's work is also relevant to the Swedish development strategy for Zambia and is responsive to the government's needs and requests as well as those of other stakeholders.

IAPRI is aware that maintaining a high level of relevance will constitute a careful balancing act. It will involve balancing:

- Taking strategic decisions on how to develop capacities in different research areas – climate change, nutrition, gender and agriculture while maintaining quality standards and with only modest expansion of senior staff;
- Its own public good priorities with responding to external demands and opportunities to earn income (e.g., through consultancies) without becoming over-stretched;
- Close and trusting dialogue with government while retaining independence;
- Current research efforts with forward-thinking work to identify tomorrow's issues and what is currently below the radar; and,
- Expanding and deepening partnerships at the national level while also building relations at the sub-national, regional and international level.

While some stakeholders would like to see a more visible IAPRI, too much exposure of the organisation itself (as opposed to its products) could be counter-productive. Its brand is best nurtured through reaching out with its work. Nevertheless, modest public relations efforts that showcase IAPRI's capacities and highlight its independence are likely to be useful and would promote transparency. IAPRI's ambition to hold annual open days is a good initiative.

EFFICIENCY

When viewed in relation to the quantity and quality of outputs, the effects achieved and the likelihood of outcomes, the Swedish Embassy is obtaining good value from its contribution.

In a short time span IAPRI has built organisational structures and systems and transitioned from a project to an independent indigenous institute. A proficient M&E system has been set up – including a strategic plan, detailed annual work plans and a monitoring framework. It has established a supportive working environment and developed a committed, proud and competent staff. The institute has benefitted from competent leadership and a functioning board with broad representation. An indication of its organisational strength was its ability to deal with the harsh critique from USAID and weather a potentially damaging crisis without affecting its performance. Moving forward, challenges that lie ahead include:

- developing an adequate and realistic succession strategy;
- attracting and retaining qualified and suitable staff;
- ensuring that the staff body has sufficient expertise in all the issues at hand;
- obtaining a critical mass of senior research fellows;
- providing young researchers opportunities for a career path;
- accessing funding through joint international research programmes; and
- improving the organisation's financial sustainability by establishing a diversified funding base.

RECOMMENDATIONS

1. IAPRI should consider adjusting its results framework to ensure that its targets are realistically attainable within the given timeframe.
2. As IAPRI expands the channels and targets of its outreach, providing easy access to its products becomes even more critical. As a matter of priority, IAPRI should ensure that its website is fully functional, up-to-date and user-friendly.
3. IAPRI should continue to explore means of reaching the meso level (especially districts). Although undertaking such outreach alone is beyond IAPRI's resources and current capacity, IAPRI could support sub-national stakeholders that are interested in involving their constituencies in the national discourse.

4. IAPRI should continue to explore modest public relations efforts. Such efforts should showcase its brand as an independent institute with strong capacity.
5. IAPRI should continue its active pursuit of new funding sources outside of traditional bilateral donors. As IAPRI diversifies its funding, the institute should examine reporting requirements carefully and weigh in the costs of administering small grants.
6. In order to ensure that IAPRI both remains relevant and also maintains its research quality standards, a clear and explicit focus is needed on raising funds and recruiting for senior researchers in gender, climate change and nutrition.
7. Sweden should continue providing core support to IAPRI while engaging in a discussion, together with other potential donors, of how to enhance senior research capacities in gender, climate change and nutrition.
8. The Swedish embassy in Zambia should inform the Sida research division in Stockholm of its support for IAPRI and request that they encourage contacts with relevant CGIAR institutions receiving Swedish support and with relevant Swedish institutions as well.

1 Introduction

1.1 BACKGROUND

The Indaba Agricultural Policy Research Institute (IAPRI), which has non-profit status, was officially launched in February 2012. It has its roots in the Food Security Research Project (FSRP).

IAPRI's goal is to provide evidence-based advice on the agricultural sector at large. The Government of the Republic of Zambia is the principal beneficiary of the advice. IAPRI's mission is to conduct agricultural policy research, capacity development and outreach, serving the agricultural sector in Zambia so as to contribute to sustainable pro-poor agricultural development. The mandate of IAPRI is to advise and guide the Government of the Republic of Zambia on agricultural policy issues based on nationally representative evidence-based-research.

In 2013, IAPRI signed a five-year funding agreement with the Embassy of Sweden in Zambia amounting to 48 MSEK. The agreement includes undertaking an independent mid-term review of IAPRI in 2015.

This report is the mid-term review of IAPRI. It assesses effectiveness, relevance and efficiency. Following a brief overview of the Zambian agricultural policy context and the background to IAPRI, this chapter presents the objectives of the review, outlines the methodology applied and provides a summary of the structure of the remainder of the report.

1.2 OVERVIEW

Compared to other countries in the region, Zambia has an abundance of fertile land, water, and a generally favourable climate for agricultural production. Moreover, Zambia has a large and rapidly growing urban population, which creates opportunities for rural-urban development synergies that may not exist in other countries. However, agricultural growth in Zambia remains stagnant, poverty rates in rural Zambia are stubbornly high, at 77.9¹ per cent of the population, and incidences of stunting, malnutrition, and wasting continue to disproportionately affect rural Zambians. Evidence shows that agricultural growth reduces poverty by twice the rate of growth in non-agricultural sectors (World Bank 2007; Diao et al. 2007). Thus for Zambia, leveraging

¹ LCMS (2012) for the 2010 survey.

agriculture as an engine for poverty reduction and improved nutrition is considered a viable way forward, and many foresee the potential for the country to become the breadbasket of southern Africa.

The need for agricultural policy advice to help authorities and other actors to bridge this gap between potential and current agricultural development is clear. In response to these needs FSRP was established in 1999 as a collaborative effort between the Ministry of Agriculture and Livestock (MAL), the Agricultural Consultative Forum (ACF) and Michigan State University (MSU). FSRP began with the initial funding from USAID/Zambia and from 2007, Embassy of Sweden contributed funds. FSRP undertook work in applied agricultural policy research, capacity building and outreach activities. Over the years, FSRP built important capacity within MAL and the Central Statistics Office (CSO). It set the foundations for evidence based agricultural policy dialogue in Zambia.

Drawing on the capacities of FSRP and building on its structures, IAPRI became operational in 2012. Initially it received bridge funding from Sweden. After conditions set by a programme health audit, IAPRI received a five-year core funding grant from the Swedish Embassy. MSU has had the role of supporting IAPRI to establish itself and build its research and outreach capacity.

IAPRI's mission is “to carry out agricultural policy research and outreach, serving the agricultural sector in Zambia so as to contribute to sustainable pro-poor agricultural development”. Its mandate is to utilise empirical evidence to advise and guide the Government of Zambia and other stakeholders on agricultural investments and policies. The overarching goal of IAPRI's policy analysis and outreach efforts is to identify policies and investments in the agricultural sector that can effectively stimulate inclusive economic growth and poverty reduction. This is to be achieved through three core operational activities:

1. Producing trusted, impartial, and high-quality research on agricultural, food, and natural resource policy issues in Zambia and the wider southern Africa region;
2. Integrating research findings into national, regional, and international programmes and policy strategies to promote sustainable agricultural growth and cut hunger and poverty in Zambia; and
3. Supporting the development and strengthening of capacity for policy research, analysis and outreach of public and private institutions in Zambia

1.3 OBJECTIVES OF THE REVIEW

According to the Terms of Reference (ToR), the overarching objective of the evaluation is to identify areas for improvement for the remainder of the agreement period, with regard to effectiveness, relevance and efficiency. Key issues for the review are the extent IAPRI is meeting its objectives; whether IAPRI is conforming to the needs and priorities of the target beneficiaries – especially policy makers; and, the operational and managerial lessons – including those related to transforming a project into

a locally registered independent research institution. The mid-term review covers the years 2012 to the first quarter of 2015.

1.4 METHODOLOGICAL APPROACH

The review was undertaken between February 22 and May 2015. The analysis was based on three main sources of data: i) review of programme-related documentation; ii) review of research and outreach outputs; and iii) interviews/group discussions with stakeholders in Lusaka.

i. Document review

The team undertook desk studies of documentation from IAPRI (planning and management documents, audits, annual reports, board documents and IAPRI's website) and the Swedish Embassy. In addition, the team studied 20 research papers, five presentations, two infographics and two documentaries. The research and outreach products were sampled purposively. The sample represented a mix of different types of research/outreach products; research/outreach products from different years; research products from different authors; and research/outreach products covering different topics. Annex 3 contains a list of documents reviewed.

The team had initially intended to undertake a typology of the research outputs to assess their relevance in relation to a poverty reduction perspective. The quality of the research work and the centrality of a poverty focus made this exercise less relevant. Instead, the team undertook a quantitative analysis of the research outputs of IAPRI and its forerunner FSRP.

ii. Interviews and group discussion

The team undertook a visit to Zambia between March 22 and March 28. In total, the team met with 41 informants including representatives from government, academia, the private sector, civil society organisations (CSOs) and donor representatives. The team also met with nine board members. Focused conversations were conducted with IAPRI staff and interviews were held with management. Skype calls, phone calls and email correspondence were used to gather supplementary information. The list of informants is provided in Annex 4.

iii. Verification and validation

Data gathered from interviews, discussions and documentation was to the extent possible verified and triangulated. A debriefing presentation and discussion on March 27 with IAPRI and the Swedish Embassy provided an opportunity for validation.

1.4.1 Limitations

A mid-term review has an inherent limitation: by being a *mid-term* assessment, by definition not all processes have been completed or undertaken; thus not all outputs and outcomes have been achieved. However, the team uncovered quite a few outcomes that stakeholders unanimously agree that IAPRI played a significant role in

bringing about. It was beyond the scope for this assignment, however, for the team to determine the extent that other actors also contributed to these results.

Second, the short timeframe and level of resources dedicated to the review set limitations to the breadth of data collection and depth of analysis. Visits outside of Lusaka were not conducted. The number and types of stakeholders interviewed was limited. For instance, the team did not meet with representatives from the media or university students. It only met with one multilateral organisation and three former trainees. IAPRI's work with ReNAPRI was not covered.

1.5 STRUCTURE OF THE REPORT

This report consists of five chapters. The subsequent chapter analyses effectiveness. This is followed by chapters that assess relevance and efficiency respectively. The ToR questions (included in the beginning of each chapter and in Annex 2) have guided the content of each chapter. The final chapter provides the team's overall conclusions and recommendations for IAPRI.

2 Effectiveness

1. To what extent has IAPRI **achieved its key results** in relation to its results framework and its operational objectives?
 2. To what extent has IAPRI's work contributed to changes in **policies and policy implementation**, taking into account the influence of other institutions and/or contextual factors?
 3. What are the reasons for **the achievement or non-achievement** of the results framework and its operational objectives?
- What can be done to make the intervention more **effective**?

This chapter assesses IAPRI's effectiveness by examining outputs in relation to its three core areas of work and by assessing the extent to which outcomes have been achieved.

2.1 IAPRI'S ACTIVITIES AND OUTPUTS

The following sections present and assess IAPRI's main functions, the activities it has undertaken and the outputs it has produced.

Box1: IAPRI Objectives

Overall objective: To facilitate national pro-poor agricultural policy change necessary for pro-poor agricultural growth and broad-based poverty reduction.

Strategic objectives

- 1) To provide quality research for pro-poor agricultural policy dialogue and formulation.
- 2) To facilitate research based stakeholder pro-poor agricultural policy dialogue on key issues.
- 3) To facilitate building of collaborative partnerships with other organisations.

Internal strategic objective

- 1) To facilitate institutional governance, management and coordination.

2.1.1 Research

Undertaking quality agricultural research has been central to IAPRI, as to its predecessor FSRP. The research work comprises between 57 to 67 per cent of the annual budget. IAPRI's research work is produced by three senior researchers with doctorates and seven junior researchers. Foreign researchers, who mostly are affiliated with MSU, have been involved in most of the research outputs over the years, though less so in recent years. Indeed, IAPRI staff have increasingly become the lead researcher(s) in most studies.

IAPRI produces four main types of research outputs: *working papers*, *policy briefs*, *presentations* and peer-reviewed *publications*. In addition it sometimes prepares ad hoc technical papers or reports. While *working papers* are final products in themselves (and are published on IAPRI's website), they do, however, form the basis for the other research products produced. Since 2012 IAPRI has prepared 32 working papers. They typically take a few months to produce. In the period under review, 19 *policy briefs* targeting decision-makers have been completed. Eight-two *presentations* have been held and 20 peer-reviewed articles have been published in academic journals.

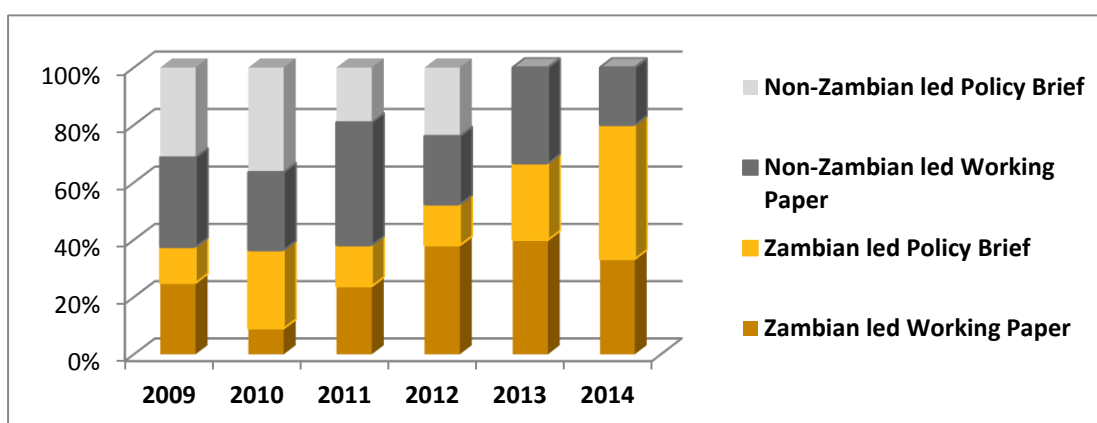
IAPRI places considerable emphasis on accuracy and quality. Although its number of senior researchers is few, IAPRI applies systematic internal quality control to keep a high standard of outputs. Concept notes and working papers are shared with peers for comments and staff make time to attend "dry runs" of their colleagues' presentations. MSU technical assistance staff has, according to IAPRI, been invaluable to maintain and improve quality.

IAPRI's research outputs are well-written and well-structured, clear in presentation, evidence-based, analytical and provide sound conclusions. Compared to many other similar research centres in developing countries, IAPRI's outputs are of high standard, which is particularly notable in relation to the brief period that IAPRI has existed and been able to build capacities. A solid indicator of the quality of the research effort is the number of peer reviewed publications produced. From 2012 to 2014, an average of seven articles was published annually. This is an impressive amount for a relatively new institute, particularly compared with other think tank-like institutions in developing countries.

In addition to quality, the value of research work should also be assessed in relation to credibility and utility. The level of credibility of IAPRI's products – including the figures, analyses and conclusions provided – is high among its range of stakeholders. For instance, representatives from MAL, Ministry of Finance, the Central Statistical Office, private sector actors, non-governmental actors, academic institutions and donor governments interviewed express a high level of confidence in IAPRI's work. Several stakeholders recalled a time when there were frequent disputes in Zambia among the stakeholders about agricultural data due to lack of confidence in the quality of the data and the impartiality of the research institutions. This subsided during the period of FSRP as capacities were built and analyses were improved. A majority of stakeholders felt that the level of credibility has increased even further since IAPRI was established as an independent domestic organisation. Several described that IAPRI, unlike its predecessor, is perceived to be *independent*, *objective* and *Zambian*. The increased visibility of Zambian researchers and greater

number of Zambia-led research papers in recent years in relation to those led by non-Zambians² has enhanced credibility further. The utility of the research products is also high among the stakeholders. MAL representatives interviewed regard all of IAPRI's products as "very useful". Other stakeholders mention that the policy briefs are particularly useful for understanding the situation, undertaking advocacy or making decisions. The recent infographics have been popular among many of the stakeholders. The team was informed that several high level government officials refer to these regularly. Presentations are generally in high demand and well subscribed to.

Figure 1: Leading of Research Work 2009-2014

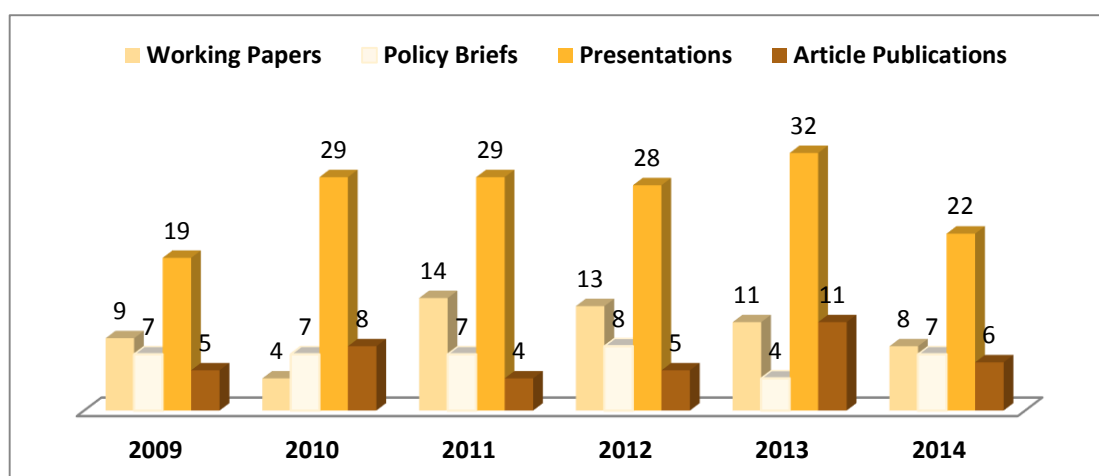


One notable caveat to the generally recognised usefulness has been a degree of concerns over what a few stakeholders described as an undue focus on maize and subsidy related issues. These complaints may, however, partially reflect desires to steer away from research that questions the political agendas of some users. The number of outputs has varied from year to year, as illustrated in the graph below. There are no clear trends except that the number of working papers has declined each year since IAPRI was established. In addition, total outputs in 2014 seem less. There are several explanations for this. First, IAPRI produced two technical papers in 2014 that are not included in the table as they are another category of publication. Second, IAPRI produced research studies for the World Bank, IDE, CTPD and ILO (two reports) as part of its consultancy work. Third, three working papers undertaken in 2014 were not published until January-February 2015.³ The addition of these reports would increase the number of working paper-like products in 2014 to 18 – which makes 2014 the most productive year so far.

² Zambia-led research outputs may include non-Zambians, but in supporting roles; and vice versa. Most of the non-Zambian researchers are from MSU.

³ The team has not examined if there was a carry over of working papers in previous years.

Figure 2: Research Output 2009-2014



IAPRI has set targets for its research outputs. These are illustrated for 2014 in the table below. (There is discrepancy between the targets set in the results framework and those outlined in the work plan for 2014, so both have been included). Although IAPRI's research output was high in 2014, it did not meet its targets (except for the results framework target for articles - which, since its achievement is ultimately beyond IAPRI's direct sphere of control, is discussed under effects below). In 2014 it did, nonetheless, surpass the average research output for 2009-13, which offers a realistic benchmark.

Table 1: Research targets and achievements

Type of Output	Average 2009-13	Results Framework Targets 2014	Work Plan 2014			Achieved 2014	Work Plan 2015
			Core financed	Alternatively financed	Total		
Working Papers	10	20	28	10	38	8+3	18
Policy Briefs	7	25	20	4	24	7	11
Other Papers ⁴	-	-	-	-	-	7	6
Articles	7	5	18	5	23	6	4

IAPRI has also not been able to meet its annual target of 3 gender dynamics in agriculture analyses. It has so far produced one. It does not yet have a fulltime gender researcher on board. Since the end of 2014, one junior researcher is part-time working on gender-related areas. It would therefore appear that this target was set without due consideration to available human resource capacities.

⁴ This includes the 5 consultancy reports and the 2 technical papers.

With 42 working paper-type outputs and 19 policy briefs produced in 3 years, stakeholders interviewed viewed IAPRI as a productive, hard-working and professional organisation. The team found no evidence that the setting of high targets have raised expectations or compromised the quality of outputs. No stakeholder raised the issue of work being underperformed or deadlines being missed.

Given the number of working papers and briefs produced during FSRP (an average of 9 working papers and 7 briefs were produced in 2009 to 2011), it would seem that the targets for 2012 to 2014 were overly optimistic. For 2015 IAPRI has reduced most of the targets compared to 2014. They nevertheless remain high compared to outputs produced annually so far.

In 2015 the Research Directorate plans to produce a book about Zambia's agriculture and prepare an Agricultural Atlas for Zambia, which it intends to publish annually. The launch of these publications is expected to coincide with the IAPRI's Open Day planned for December 2015. Another key initiative in 2015 – subject to the availability of funds – will be supporting the Second Rural Agricultural Livelihood Survey (RALS).

2.1.2 Outreach

IAPRI's outreach effort initially carried out many of the same activities that FSRP undertook in the past with the support of ACF. Typically presentations/meetings held each year have included:

- High level policy meetings (with senior government officials and members of parliament)
- Ordinary policy meetings (with other stakeholders in the agricultural sector)
- Annual and mid-year national budget review meetings
- International and regional agricultural research-related meetings
- Ad hoc policy meetings with agricultural stakeholders, often by demand.

For most of these meetings, IAPRI prepares presentations based on its research. The PowerPoint presentations are available on IAPRI's website.

IAPRI's outreach work also involves addressing media requests, which amount to about one a week. These requests have been more intense when the government budget is being discussed. IAPRI typically responds by referring the inquiry to written material from IAPRI. It also grants interviews for radio, print media and television. According to IAPRI, media requests increased during 2014 and by the end of the year it received an average of about two per week. At least once a quarter, IAPRI participates in television panels concerned with agricultural policy issues. In 2014, IAPRI made seven television appearances.

According to its own accounts from 2012, IAPRI inherited the weakness from FSRP of not being proactive enough in disseminating its research findings to stakeholders,

especially to Zambian mainstream audiences. In 2013 the organisation decided to make 2014 the year of outreach. By then IAPRI had filled the position of Outreach Director.

The resolve to improve the outreach effort coincided with establishing relations with the newly launched (and DfID-funded) Zambian Economic Advocacy Project (ZEAP) which aims at raising the level of informed public debate in Zambia on economic policy issues, with a view to influencing better policy results. ZEAP provided advice and support for outreach - particularly in relation to two new products - infographics and television documentaries. The infographics are A3-sized glossy presentations with focused text and colourful graphics to provide an informed overview. The three produced so far concern maize bumper harvest and crop forecast estimates, Zambia's land situation and an analysis of the 2015 agricultural budget. These have been distributed to the public in daily newspapers and sent to stakeholders. The email address at the bottom of the graphics and the cell number has resulted in a fair share of emails and SMS/calls to IAPRI from the public, some requesting more information.

Two television documentaries have been produced: *The Maize Puzzle: What's The Story* and *The Paradox of Smallholder Land Scarcity* (complementing the infographic covering the same topic). These are well-produced with information being clearly conveyed. They exist in different versions for different audiences and are available on YouTube. Both public and private television stations have aired the documentaries.⁵ Since the reach of the documentaries is limited to those who are watching when they are aired, a greater effect will be achieved over time as the documentaries are accessed from online sources.

The presentations in 2014 include the categories listed above. While the total number of events were fewer in 2014 compared to 2012 and 2013, ten events were packed with two to five different presentations.⁶ Thus the work that went into the 2014 presentations was considerably larger.

Giving outreach extra effort and attention has paid off. Stakeholders interviewed comment on IAPRI's "dynamism", "greater drive" and "more proactive" approach. A couple of NGOs mentioned that IAPRI is creating a platform that is helping them to engage with other stakeholders - both in the private and in the public sector. Other stakeholders commented on the high professionalism; and the quality, utility and credibility of presentations. The reaction to the infographics has been very positive.

⁵ However, public television have so far refrained from airing the land documentary due to it being viewed as potentially critical to government actions. It has asked IAPRI to make some slight edits that will feature government perspectives, which IAPRI has agreed to do, time permitting.

⁶ The presentations include both those undertaken in Zambia and abroad.

The team found copies of these posted on walls in stakeholders' offices and were informed that high level officials regularly referred to them.

Stakeholders held that IAPRI's growing successes in outreach efforts was also due to the organisation's networking and interaction skills. Apart from being able to contact and invite a large number of relevant stakeholders, IAPRI has maintained good relations with them – which often has required a skilful balancing act. It has been able to seize opportunities and engage proactively in a tactful way that has not compromised its impartiality. The Executive Director's skills, knowledge and experience have been a valuable resource in this regard. (This is discussed further in section 4.3.2)

Nevertheless, a number of stakeholders interviewed felt that there was scope to further improve IAPRI's visibility and reach. In some cases, these stakeholders were not yet aware of recent IAPRI initiatives directed at the general public, which is understandable since many are relatively new. A couple of stakeholders had the impression that IAPRI was "closed up" and a few others were concerned about misconceptions held about IAPRI due to people's lack of understanding (this is discussed further in section 3.3.3). One commented that he had not consistently received new research products. Some were not aware that IAPRI's website contained research papers and presentations. The website, which has been under construction for some time as data has migrated to a new operator, is thus far insufficiently up-to-date and not always fully functioning. Despite current glitches, it is nevertheless surpassing its monthly targets for hits per publication (40 hits in 2013; 31 in 2014 compared to a target of 10).

While IAPRI has been more successful in reaching key players at the Lusaka and central levels, its outreach into the provinces has so far been limited due to the considerable amount of time and resources required for these events. In 2013 and 2014 IAPRI undertook workshops in two provinces – Chipata in Eastern Province and Mansa in Luapula Province. These were geared to the local agricultural issues and were well attended.

Most stakeholders maintained that sustainable policy change would require a concerted effort to bring the policy debate to the rural areas and inform provincial and grassroots levels of why policy changes are needed and how this would benefit small-holders. Engaging at these levels could also be a way of bringing voices from the rural areas into central level policy discussions and could raise awareness about the extent to which new programming being rolled out from central levels (e.g., climate change initiatives) would need to reflect local priorities, concerns and capacities. With its current set-up, conducting effective and systematic information campaigns at decentralised levels would be beyond IAPRI's capacity as at the current rate, it would take 10 years to cover 10 provinces.

In 2015, IAPRI's outreach efforts aim to raise the bar further. Together with ZEAP, it is analysing power dynamics and change agents groups with different interests in relation to agricultural policy issues so that it can identify appropriate strategies for change. It is furthermore working with media consultants to understand the Zambian mass communications market and media consumption patterns to identify effective channels to target different types of stakeholders with relevant information. In addition to its presentations at meetings and workshops; its infographics; and documentaries; IAPRI is looking into use of radio – including "infotainment dramas".

2.1.3 Collaborative partnerships

In its Strategic Plan, IAPRI sets out its approach to collaborative partnerships. In principle it consists of both capacity building and strategic alliances, although the former has constituted a more consistent focus. IAPRI has three main types of targets: government (MAL/CSO); academia (UNZA) and others (mainly civil society/farmers' organisations such as ZNFU, Cotton Association of Zambia, Grain Traders of Zambia, etc.). In total, IAPRI has intended to assist eight organisations a year. It has roughly met this target.⁷

IAPRI's capacity building of **government stakeholders** has consisted of technical and methodological support to MAL's Stocks Committee; backstopping MAL/CSO staff during the Crop Forecast Survey (CFS) and Post-Harvest Survey (PHS) by supporting data checking, cleaning routines, and procedures for producing accurate crop production estimates; and, annually providing data-related training to MAL/CSO staff members. It is also supporting the government in the CAADP process. In 2012 it provided US\$300,000 for technical and analytical support to MAL's National Agricultural Investment Plan (NAIP). According to MAL, this was the most significant and substantial support it received from any donor for CAADP and it was critical for the preparation of the NAIP. IAPRI is currently involved in training MAL staff in the preparation of analytical briefs on issues, which according to MAL has been very useful. CSO is also highly appreciative of the support it has received. Both institutions claimed that the training received has been put to good use by staff. This includes applying advanced technical approaches to data analysis and data cleansing of, for instance, the agricultural surveys (Crop Forecast and Post-Harvest Surveys) that are undertaken annually by CSO and MAL.

IAPRI has also supported the government by providing analyses and platforms for dialogue with the different stakeholders of the sector. Of particular note was a recent White Paper *Opportunities and Challenges in Enhancing Agricultural Development*

⁷ Some organisations, such as the World Bank, have been included among these because IAPRI has provided support in the form of research. To a degree, this makes sense, as there is no other target it easily can be included in. However, providing research papers for the World Bank is arguably not capacity building support.

in Zambia and the Indaba organised by IAPRI in March, 2015 on request from the new Minister of Agriculture. Around one hundred people were invited and 170 attended. The meeting, which included four presentations by IAPRI and group sessions, lasted 12 hours and discussions were described as remarkably frank, intense and constructive. The event was hailed as a success by all informants who attended. One external stakeholder with considerable experience interviewed by the team especially commented on the high standard of IAPRI's presentations.

The support to **academia** has been based on the desire to improve the quantity and quality of agricultural specialists able to conduct policy analysis and outreach in Zambia. UNZA's School of Agricultural Sciences has been IAPRI's main academic partner. Interaction with UNZA was more frequent at the start of the programme period. In the first couple of years IAPRI staff members assisted in curriculum development; lectured in a graduate course ("Issues in Agricultural and Applied Economics"); and, contributed hardware to the computer centre. IAPRI also provided research scholarships and mentored two outstanding MSc students. Since 2014, the collaboration has been less active. While IAPRI has regularly invited UNZA students to events and has collaborated with UNZA in the area of climate change effects on rural livelihoods, it has not been much involved in lecturing at the University or mentoring students. This seems to be due to organisational challenges at UNZA.

Starting in 2015, IAPRI would like to broaden its tertiary education focus by introducing a Masters research completion scholarship that students from other universities in Zambia may also benefit from. At least 10 policy relevant student research proposals that are aligned with IAPRI thematic areas will be selected and funded.

The support to **civil society/farmers' organisations** has included organisational support to the Horticultural Association of Zambia, ReNAPRI, the Cotton Association of Zambia, the Grain Traders Association of Zambia, the Fertiliser Association of Zambia, the Zambia National Farmers' Union, IDE and MUSIKA. The latter three organisations have paid IAPRI for the assistance under IAPRI's consultancy arm.

Given the high capacity of IAPRI in the areas of research, analysis, communications and organisation in relation to most of its stakeholders, IAPRI could potentially spend a large portion of its time building capacities of others. However, such efforts would not necessarily further IAPRI's objectives in the most direct way. IAPRI states that in the future it plans to be more discerning about its capacity building effort to ensure that efforts as much as possible are strategic in contributing to IAPRI's overall policy goals. It thus expects a narrowed capacity building effort going forward.

2.2 EFFECTS

2.2.1 Meeting objectives and targets

IAPRI's outcome indicator for its overall objective of facilitating "*national pro-poor agricultural policy change necessary for pro-poor agricultural growth and broad-based poverty reduction*" is an "*improved agricultural policy environment*". If an improved agricultural policy environment is one in which relevant stakeholders, including the general public, are engaged in constructive and evidence-based policy dialogue, there is significant evidence that IAPRI is contributing to such an environment:

- IAPRI is contributing **evidenced based analyses** – which are considered to be of high quality, credible and useful – to Zambia's agricultural policy debates. Stakeholders from public sector, private sector and civil society organisations are increasingly referring to findings, conclusions and figures produced by IAPRI analyses in their debates, interviews and advocacy efforts ("People are now quoting correct figures!"). It is thus creating a demand for quality statistics and evidenced based analyses. Some stakeholders maintain that the agricultural debate has become more focused and those engaged have become "used to having good evidence" at their disposal.
- IAPRI is able to **convene** a broad range of stakeholders – even at short notice – to a number of different policy-related fora. Attendance at these events has generally been both good and relatively diverse. Some say that the reputation of IAPRI is such that other organisations want to be associated with them. Stakeholders maintain that they are engaging with one another more actively than before through the platforms that IAPRI creates.
- IAPRI has supported government institutions to generate **accurate and relevant statistics**, which is improving the policy environment.
- IAPRI has gained **trust and respect** from the public sector. According to stakeholders, FSRP did not achieve the full collaboration with Zambian public institutions, such as MAL and CSO; as IAPRI has presumably largely due to its growing track record and the diminished role of non-Zambian researchers.
- IAPRI is making progress in **engaging the general public** in the agricultural policy debate through infographics, documentaries and through increased engagement with the media.

These changes in the national policy discourse have been centred on Lusaka. As noted above, IAPRI's capacity to engage with stakeholders in rural areas and bring local agricultural authorities, private sector actors and farmers (i.e. not just farmer 'representatives') into the national agricultural policy discourse has been limited.

IAPRI has set itself policy shifts – including legislation, policies/regulations/ administrative procedures being passed – as objectively verifiable indicators of its success. This is ambitious given that such changes are beyond IAPRI's sphere of influence.

Many stakeholders, including IAPRI staff, convey a level of frustration with the perceived lack of progress in this regard. Nevertheless, some steps forward have been achieved:

- In line with IAPRI's analysis of evidence that the benefit from **maize meal subsidies** were not being passed on to the consumer, the Zambian Government removed the subsidies in 2013 in line with IAPRI's recommendation. This constitutes the clearest policy change implementation so far.
- In 2013 the government agreed to limit its **purchase of maize** to 500,000 metric tonnes by the Food Reserve Agency in line with sound economic and food security policy as evidenced by IAPRI's research. However, the government reneged on this in 2014 and FRA ended up purchasing over 1,000,000 metric tonnes. This reversal was considered a result of numerous parliamentary by-elections and the pending presidential by-elections during the 2014 marketing season in which the promise of government purchases served political expediency.
- Stakeholders maintain that IAPRI played an instrumental role in moving the process forward to operationalise the **Agricultural Credits Act**. As a result, in November 2014 the Minister of Agriculture signed a long awaited Statutory Instrument giving authority to ZAMACE to certify warehouses, guarantee issued warehouse receipts and operate a commodity exchange. The **warehouse receipts system** is expected to provide smallholder farmers with another marketing opportunity for their crops (e.g. maize, soybeans and groundnuts) and access to credit using the issued receipts as collateral. It is predicted that this will lead to more private sector investment in storage facilities around the country, which is expected to change the way agricultural commodities are traded in Zambia.
- After consistent advocacy efforts by IAPRI, the government decided to pilot an **E-voucher system** for agricultural inputs this year – an initiative the government has budgeted for three years but not yet implemented. This development will allow farmers the choice of type of input support from FISP. It is also likely to increase the participation of agro-dealers and reduce government expenditure on transporting inputs to the farmers. Whether the IAPRI target of at least 60% FISP inputs being distributed through E-voucher by 2018 remains to be seen.

Smaller or less visible results have been achieved in relation to the following outcomes:

- IAPRI has worked to move the **Cotton Act** forward. It is now considered to be in an advanced stage.
- IAPRI is currently developing a strategic plan aimed at building an advocacy consortium consisting of private traders, ZNFU and ZAMACE that will push the **Agricultural Marketing Bill** to be brought before Parliament.
- IAPRI set the target of achieving an increase of the **agricultural sector's share** of national budget to 10 percent (in line with the CAADP goal). In 2014, the Zambian government allocated approximately 7.2% of its total national budget to the sector, up from 5.8 percent the previous year. Moreover, MAL informants held

that the budget analyses undertaken by IAPRI have influenced the following budget cycle so that livestock and fisheries have received relative increases in allocations.

- IAPRI set the target of at least 60 percent of the maize production being bought by private sector. However the reigning political environment continues to result in ad hoc maize marketing policies and thus has a discouraging effect on the private sector's willingness to purchase maize. The private sector ended up buying 58 percent of the maize in both 2013 and 2014.

Meanwhile, there has been no progress in relation to IAPRI's target of achieving less than 50 percent of the national agricultural budget being spent on subsidy programmes. Indeed, between 2013 and 2014 the subsidy share rose from 49 percent to 52 percent.

A key obstacle to agricultural policy change is the complicated web of vested political and economic interests that have long favoured the status quo. Second, the turnover of staff at the Ministry of Agriculture has also slowed progress. Nevertheless, most stakeholders conveyed cautious optimism regarding the arrival of the new Minister for Agriculture, who is seen as a pragmatic reformer with a solid understanding of agricultural issues. The increasing interest at the Ministry of Finance for a reduction in agricultural subsidy costs may also contribute momentum. At the same time, some stakeholders pointed to the limited window of opportunity with election coming up in the next 18 months.

2.2.2 Other effects

While not recognised as such in the IAPRI results framework, having peer-reviewed articles accepted by academic journals can be regarded as outcomes, since IAPRI does not have direct control over this process. During the period under review, 22 articles were published, compared to 17 articles for the previous 3 years and compared to its target of 15.

3 Relevance

4. To what extent is IAPRI's research work relevant in relation to the prevailing discourse on paths towards **broad-based poverty reduction** and pro-poor agricultural growth in Zambia?
5. To what extent is IAPRI's work relevant to the **Swedish development strategy** for Zambia, including climate change and gender equality concerns?
6. To what extent is IAPRI's work **responsive** to the government needs and requests?
7. Is IAPRI's work consistent with **stakeholder** (ZNFU, CSOs, private sector, academia, other donors, other Swedish-funded organisations) priorities, needs and requests?
8. To what extent is IAPRI's work responsive to **emerging agricultural** issues and needs in the Zambian agricultural sector (including climate change adaptation and mitigation)?
9. What can be done to make IAPRI's work more **relevant**?

This chapter examines the relevance of IAPRI's efforts in relation to pro-poor agricultural development, Zambian government priorities and the Swedish development strategy for Zambia. It also assesses IAPRI's responsiveness to stakeholder needs and the relevance of IAPRI's role.

3.1 PRO-POOR FOCUS AND ALIGNMENT WITH ZAMBIAN PRIORITIES

The Zambian National Agricultural Investment Plan (NAIP), under the Comprehensive African Agricultural Development Programme (CAADP)⁸, centres around six focal investment areas. These investment areas are considered important for pro-poor growth. As seen from the table below, IAPRI's thematic research areas are aligned with the NAIP focal areas:

⁸ The Comprehensive Africa Agriculture Development Programme (CAADP) is Africa's policy framework for agricultural transformation, wealth creation, food security and nutrition, economic growth and prosperity for all. CAADP champions reform in the agricultural sector. It aims to catalyse transformation of Africa's agricultural systems and stimulate increased and sustainable agriculture performance in member states to achieve economic growth and inclusive development. The African Union (AU) Summit made the first declaration on CAADP as an integral part of the New Partnership for Africa's Development (NEPAD) in 2003. NEPAD aims to address critical challenges facing the continent: poverty, development and its marginalisation internationally.

IAPRI Research Areas	NAIP Focal Area
1. Market development and trade (formerly Agricultural Markets and Prices)	1. Market Access and Service Delivery
2. Public Policy and Spending	2. Food and Nutrition Security and Disaster Management
3. Agriculture, food and nutrition	3. Crop Production and Productivity
4. Productivity and poverty reduction	4. Livestock Production and Productivity
	5. Aquaculture Production
5. Natural resources and climate change adaptation and mitigation	6. Sustainable Natural Resource Management

3.2 SWEDISH DEVELOPMENT STRATEGY FOR ZAMBIA

The Swedish Development Strategy for Zambia (see Box 2) considers the agricultural sector as critical for income growth and employment. Sustainable use of natural resources, input and markets for smallholders, improved production, climate change adaptation and mitigation, environmental sustainability and gender equality are priority areas for Sweden. These areas are addressed by IAPRI's research work, papers and presentations as evidenced by the sample papers below:

Smallholder farmers and poverty

- [Child Malnutrition, Agricultural Diversification and Commercialization among Smallholders in Eastern Zambia](#). Rhoda Mofya-Mukuka and Christian H. Kuhlplatz. Working Paper 90. January, 2015.
- [Assessing the Feasibility of Implementing the Farmer Input Support Programme \(FISP\) Through an Electronic Voucher System in Zambia](#). Nicholas J. Sitko, Richard Bwalya, Jolly Kamwanga, and Mukata Wamulume. Indaba Agricultural Policy Research Institute Policy Brief Number 53. Lusaka, Zambia. April 2012.
- [Non-Timber Forest Products and Rural Poverty Alleviation in Zambia](#). Brian P. Mulenga, Robert B. Richardson, and Gelson Tembo. IAPRI Working Paper 62. April 2012.

Gender equality and women

- [Does Gender Matter when Evaluating the Economic Impacts of Smallholder Land Titling in Zambia?](#) Munguzwe Hichaambwa, Jordan Chamberlin, and Nicholas Sitko. No. 70. January, 2015.
- [Gender Control and Labour Input: Who Controls the Proceeds from Staple Crop Production among Zambian Farmers?](#) Arthur M. Shipekesa and T.S. Jayne. IAPRI Working Paper 68. September 2012.

Climate change

- [Climate Trends and Farmers' Perceptions of Climate Change in Zambia](#). Brian P. Mulenga and Ayala Wineman. No. 68. December, 2014.

Box 2: The Swedish Development Strategy for Zambia regards the agricultural sector as having potential for creating increased income and employment opportunity. Insufficient energy, poor access to financial services, underdeveloped markets and unsustainable use of natural resources hamper poor people's opportunities for productive employment in agriculture.

The Swedish support to Zambia focuses on creating improved opportunities for women's and youth's employment by i.e. increased access to clean and renewable energy with as low climate impact as possible; and a more productive, market-oriented and sustainable agriculture. Sweden will contribute to increasing access to services, input and markets for smallholder farmers, entrepreneurs and firms.

The Swedish development assistance shall be catalytic and promote private and non-state actors that can contribute to developing local markets, value chains focused on sustainable production and production/services that can contribute to increased employment opportunities, especially for women and youth. Improved sustainable agricultural production and energy supplies requires clear improved infrastructure, markets, policies and the rule of law regarding land rights.

(Translated from Swedish by the team)

Sustainable use of resources

- [Conservation Farming Adoption among Smallholder Cotton Farmers in Zambia, 2002 to 2011](#). Stephen Kabwe, Philip P. Grabowski, Steven Haggblade, and Gelson Tembo. No. 64. March, 2014.
- [Conservation Farming Adoption and Impact among First Year Adopters in Central Zambia](#). Joseph Goeb. IAPRI Working Paper 80. October 2013.

Land issues

- [Poverty Reduction Potential of Increasing Smallholder Access to Land](#). Munguzwe Hichaambwa and T. S. Jayne. IAPRI Working Paper No. 83. March 2014.
- [Can Increasing Smallholder Farm Size Broadly Reduce Rural Poverty in Zambia?](#) Munguzwe Hichaambwa and T. S. Jayne. No. 66. May, 2014.
- [Does Land Titling Increase Smallholder Agricultural Productivity in Zambia?](#) Munguzwe Hichaambwa, Nicholas Sitko, and Jordan Chamberlin. No. 63. February, 2014.

Markets and value chains

- [Challenges of Smallholder Soybean Production and Commercialization in Eastern Province of Zambia](#). Mary Lubungu, William Burke, and Nicholas J. Sitko. No. 62. November, 2013.
- [Value Chain Analysis of the Groundnuts Sector in the Eastern Province of Zambia](#). Rhoda Mofya-Mukuka and Arthur M. Shipekesa. IAPRI Working Paper 78. September 2013.
- [Analysis of the Sunflower Value Chain in Zambia's Eastern Province](#). Mary Lubungu, William J. Burke and Nicholas J. Sitko. Working Paper No. 85. September 2014.

Review of these publications demonstrates relevance with Swedish objectives, but with relatively less attention given to climate, environment and gender issues. The work plan for 2015, however, aims to cover two gender-related topics and climate and the environment will be addressed in a thematic area consisting of three different research topics.

3.3 RESPONSIVENESS

The extent to which IAPRI responds to its different stakeholders is an indication of its relevance in the Zambian agricultural policy context. The following two sections examine how IAPRI interacts with government and non-government stakeholders.

3.3.1 Government needs and requests

According to IAPRI's mandate, it should advise and guide the government of Zambia. Government sources have found IAPRI's findings to be reliable and recommendations to be clear and transparent. IAPRI is viewed as impartial. While the government recognises the pressure IAPRI's work puts on it, this is not viewed as a problem. Indeed, MAL has sometimes referred the Zambian Broadcasting Corporation to IAPRI for comments rather than presenting their own, particularly when the unbiased perspective that IAPRI offers has served the government's purposes.

IAPRI seems to be well attuned to its main stakeholders' needs and priorities. IAPRI's research, outreach work and capacity building are greatly appreciated by all public sector officials interviewed. IAPRI's support to make national agricultural surveys more reliable and accurate is considered very important.

"We do not know how we would manage without them."

"IAPRI is very helpful, especially for civil servants."

IAPRI also briefs MAL after attending international or regional seminars and conferences. This is considered very helpful. The ties that have been forged with government appear to be based on trust. The ministers for agriculture and permanent secretaries have regularly interacted with IAPRI. Ministers have even been known to call IAPRI from abroad when travelling to international meetings.

"All Ministers want to talk to IAPRI."

The prominence of IAPRI in the agricultural sector is reflected by the fact that IAPRI was granted an audience (for several hours on a Saturday) with the current minister within three days of his appointment. The recent Indaba organised by IAPRI (with some support from ACF) directly responded to the new minister's request (see section 2.1.3). Its success led some government stakeholders interviewed to suggest that it be held annually from now on.

The Ministry of Finance has found IAPRI's analyses particularly useful as IAPRI's conclusions and recommendations are in line with the ministry's interests of finding ways to make the government budget more effective in generating poverty reducing economic growth.

3.3.2 Other stakeholders

IAPRI's non-government stakeholders are many – private sector actors, civil society and farmers' organisations, academic institutions, legislators, international organisations, regional organisations, media and donor agencies.

At an overall level, key stakeholders interviewed found that IAPRI is playing an important role for the different stakeholders of the agricultural sector. This role has become more significant and has broadened since IAPRI became an indigenous independent institution. IAPRI was described as having more drive, being more pro-active and becoming more known since then.

"Since IAPRI has become indigenous, it has become stronger and more relevant".

"IAPRI is incredibly valuable to the agricultural sector".

Stakeholders commented that IAPRI has brought actors up to speed so they can have an effective dialogue.

"IAPRI is creating a platform that is helping us to engage with other stakeholders - both in the private in public sector."

"IAPRI is raising the level of debate. People are getting used to having evidence."

At the same time, one stakeholder was concerned about the threat of "participation fatigue" setting in among private sector actors. Because policy change has been perceived as moving exceedingly slowly and because virtually the same topics continue to be debated, non-government actors are starting to lose hope of reform. There is a risk of gradual disengagement if visible results are not achieved.

IAPRI is viewed as bringing to the fore the **private sector's** views. It has engaged "very well" with Grain Traders Association and provided organisational and technical

support to the Cotton Association of Zambia. Upon request it has built survey capacity at the ZNFU. It has also engaged with and undertaken specific assignments for the **civil society organisations** Musika and iDE. All these organisations purport to be using IAPRI's research to guide their work.

IAPRI is also in demand among **regional** (e.g. SADC) and **multilateral agencies** (e.g. World Bank, ILO) from which it has received several requests. Generally IAPRI responds to requests that correspond to its own priorities – such as the drafting of a report on the political economy of maize for the World Bank. IAPRI is sometimes requested to make presentations or brief these stakeholders and some **donor governments**. For instance, IMF representatives asked to meet with IAPRI when they visited Lusaka. IAPRI has held one or several presentations for British, Swedish and German donor agencies.

IAPRI has had regular contact with the committee on agriculture and lands of **parliament**. It has been invited to the committee sessions and requested to provide empirical information on different topical issues in the agriculture sector. Committee members have also participated in IAPRI-organised indabas and budget analysis presentations. The information presented has helped the committee members to make informed recommendations on agricultural policy to the parliament and government. It appears that the legislators are pleased with the briefs, dialogue and support received from IAPRI and is considered an important resource.⁹

In the last two years, IAPRI has undertaken meetings at the **provincial level** – Chipata in Eastern Province and Mansa in Luapula Province. According to IAPRI, these meetings have required considerable preparations. IAPRI made an effort to present research and analyses that were relevant to the specific provinces – such as cassava cultivation and perspectives on conservation farming. The provincial events have also allowed for the decentralised levels to feed back to IAPRI and highlight issues of concern.

Nevertheless, some stakeholders interviewed held that IAPRI needs to become more visible. One stakeholder found IAPRI to be "closed" in its approach and did not interact enough with others. Another suggested that IAPRI "improve its packaging". A handful of stakeholders strongly believed that IAPRI should become more known on the ground and influence from below.

"IAPRI needs to educate the masses, especially for the removal of subsidies since there is too much asymmetric information."

⁹ While the team did not meet with any legislators due to the sitting fee that was required, four different sources mentioned the high level satisfaction on the part of the parliamentarians who have interacted with IAPRI.

In terms of whether IAPRI is raising the most **relevant issues**, there was general consensus that the topics it addressed were pertinent. It was also regarded as effective in responding to arising issues. A few felt there was too much focus on maize, others held that this was such a key topic that required a continued spotlight. A number of stakeholders specifically mentioned the importance of the fact that IAPRI is raising land issues in a more concerted way. A couple of stakeholders suggested that IAPRI diversify more and look into, for instance, poultry and dairy.

3.3.3 Relevance of role

Stakeholders had different views on the relevance of IAPRI's functions and the role it should play. More informed stakeholders were generally very satisfied with the role IAPRI plays. They felt it combined the role of research institute with policy advice/think tank well – conducting research, presenting the evidence, convening partners – but not engaging in outright lobby work. As one civil society organisation described it:

"Let us do the fighting, IAPRI should stay over and above it all and should keep its eye on the ball."

Stakeholders that were the most familiar with IAPRI's work also found IAPRI to be independent, impartial, rigorous and professional in its work.

Meanwhile, the team found that the stakeholder informants with less knowledge of the institute sometimes had less favourable and/or misinformed views of IAPRI. One stakeholder expected IAPRI to be more vociferous, advocate more forcefully and use the press to condemn government actions. Another regarded IAPRI as a quasi-government organisation that could not advocate against government positions. Yet another regarded the non-Zambian names on many of the research papers as evidence of foreign influence and "dominance of MSU". Others maintained that there were conceptions that IAPRI was controlled by American agribusiness – a view that was also often held in relation to FSRP.

The team found that several organisations felt that IAPRI should do more to build research capacities and statistical competence among other organisations in Zambia. It appears that the more IAPRI raises its profile, the greater the expectations among CSOs and others will be in this regard.

4 Organisational Efficiency

10. Has IAPRI work been **managed** with reasonable regard for efficiency? What measures have been taken during planning and implementation to ensure that **resources are efficiently used**?
11. Do owners of **IAPRI/stakeholders participate** in the planning and implementation of the work plan?
12. Could IAPRI's work have been implemented with **fewer resources** without reducing the quality and quantity of the results? Could more of the same results/outputs have been produced with the same resources?
13. Is IAPRI characterised by **good governance**, including effective management and organisation?

4.1 ORGANISATIONAL SYSTEMS & ADMINISTRATION

In its first year IAPRI was able to draft and institutionalise a number of administrative and organisational tools and systems to ensure efficiency and smooth operations. These included the Board Charter, Strategic Plan, the Administration Manual, Finance and Accounting Manual, Procurement Manual, Disciplinary Code, Grievance Procedures Manual and travel and vehicle policies.

Monitoring of expenditures is undertaken through quarterly financial statements to the board, internal dialogue and oversight and management team meetings. IAPRI has developed a Performance Monitoring Plan (PMP) for planning, managing and reporting on performance data. External audits are carried out annually as provided for in the Articles of Association. Risk management is undertaken with the support of a quarterly Risk Status Report produced by management and discussed by the Risk and Audit Committee of the board.

The Swedish Embassy hired *Moore Stephens* to conduct a pre-award assessment that was followed by a Project Health Review by EMM in July 2014. The latter concluded that on the whole, IAPRI has a satisfactory system of management, financial and reporting systems, procedures and controls. It identified some scope for improvement in some of the areas reviewed but these were not regarded as areas of high risk for Sweden.

4.2 RESULTS BASED MANAGEMENT

IAPRI set out its work and vision in its Strategic Plan for 2013-2018. The log frame in the plan has been updated a few times to include – in its current version – indicators, targets, sources and means of verification and risks and assumptions. Since 2013, IAPRI has tracked the targets set and has prepared clear and detailed monitoring reports in matrix form with explanatory notes. There is currently a staff member who is dedicated to M&E.

The results framework is overall well-presented, generally logical and well structured. The reporting matrix is clear and methodical. However, as discussed in section 2.1.1, several targets are outside of IAPRI's sphere of direct influence and others are too ambitious in relation to past performance. To be a useful management instrument, objectives and targets would need to be realigned with what is feasible given IAPRI's resources and the prevailing context.

Work plans have been produced every year. The board has been involved in commenting on and approving these. For the first years, the work plans consisted of detailed tables with itemised activities and budget lines. The work plan for 2015 represents a much more thoughtful document, with more detail and useful analysis that justifies the structure of the plan. There does not appear to be space in the work plan for unplanned demand-driven work.

In 2013 the Research Directorate split into two units including a “Rapid Response Team” and a “Long-terms Analytical Team” to allow IAPRI's research staff to respond quickly to emergent agricultural policy issues, while at the same time continuing to produce the in-depth, long-term research outputs. For 2015 the Research & Outreach Committee has directed IAPRI to identify three priority research and outreach areas that will be considered and discussed by the Committee each quarter. Once agreed upon, these areas will be regarded as "non-negotiable". Providing some form of projections of demand-driven work in the work plan would, however, facilitate its planning and monitoring work.

4.3 HUMAN RESOURCE MANAGEMENT

4.3.1 Staff

Building analytical capacities in research institutions requires highly qualified and able staff. IAPRI has recruited competent and committed staff. Informants praise IAPRI's staff for their knowledge, energy and professionalism. They are considered goal-oriented and focused. Most of IAPRI's staff are relatively young. Many have gained significant practical experience of both research and outreach work during the few years of IAPRI's existence.

IAPRI seems to offer a supportive working environment. Employees are encouraged to interact freely with one another and staff describe a congenial atmosphere. Staff point to the importance that teamwork is given within the organisation.

"At IAPRI you never walk alone"

Internal exchanges and keeping colleagues informed of research work are encouraged. Cohesion is further promoted by having communal lunches in the kitchen. In this way it is considered an unusual workplace for Zambia. Some staff seem to work hard and long hours. The continuously growing demand from external stakeholders combined with ambitious internal objectives risks becoming overwhelming for some staff.

IAPRI offers relatively high salaries to retain staff. This is important for a small institute such as this to compensate for the somewhat weaker job security in comparison with public or university employment and the fewer opportunities that exist for mid-level staff to access doctoral fellowships. Along with the apparently rewarding work environment, IAPRI has a high retention rate so far. By January 2015, IAPRI completed its first round of staff performance assessments.

Only two out of its research cadre of 9 researchers hold PhDs. The remainder have Masters degrees. IAPRI is justifiably concerned providing a career path for young researchers and giving staff the opportunity to develop professionally. The junior staff have ample opportunities to develop their research skills, but it appears more difficult to find ways to pursue doctorates, which in the long-term is essential for a career in research. A large proportion of staff with Masters degrees could tip the balance of support to IAPRI in the future towards consultancies (where a Masters is generally judged to be sufficient) rather than research (where international funding requires active engagement of more senior researchers).

At the moment, funds for training amount to around \$US 10,000 a year for all staff. Training is ad hoc and on-the-job – mostly through technical assistance support from MSU staff. IAPRI does not have a budget to subsidise its staff while attaining a doctorate. It believes (and the evaluation team strongly concurs) that having access to funds to support PhD candidates and their families during their studies abroad is critical for the healthy long-term development and sustainability of its human resources.

Having a critical mass of senior research fellows is crucial for a research body's institutional sustainability and for publishing in peer-reviewed academic journals and for credibility in academic fora. IAPRI and external observers see the lack of a sufficient number of senior researchers as a risk and a serious constraint going forward.

IAPRI is looking into creative ways to compensate for this, enhance its internal capacity and improve its prospects of institutional sustainability. On the one hand, IAPRI has identified a couple of Zambian doctorate candidates studying abroad

which it hopes to lure to IAPRI. Second, the Board has approved the principle of appointing adjunct professors (APs) from recognised universities abroad to work with IAPRI researchers. These APs will represent key intellectual resources for the institute to draw as needed. Typically, the APs will not be paid any salary or other emoluments. Among other activities, they may assist with mentoring of staff, reviewing IAPRI's research papers and/or carry-out joint research with IAPRI researchers. To date IAPRI has two APs, Professor Thom Jayne from Michigan State University and Professor Regina Birner from Germany (formerly with IFPRI). IAPRI is looking to identify additional APs from Sweden. It has requested support from the Embassy in this regard but so far no progress has been made on this front.

4.3.2 Management

IAPRI has a dynamic and dedicated management team that according to staff operates an "open-door" policy. The Executive Director, who has broad and highly relevant experience, is held in esteem by many stakeholders. Stakeholders point to that his networks, political savvy and leadership skills makes him uniquely qualified to run IAPRI. His management team includes a highly qualified Research Director, a dynamic Outreach Director and a Director of Finance and Administration that is a Chartered Accountant (fellow of ACCA-UK), has a Master of Philosophy in Development Finance, an MBA in Financial Services and previous experience of administering the Swedish embassy's entire support to Zambia.

IAPRI and its board are aware that these staff members too can easily be lured by job opportunities elsewhere. The ED has been offered other jobs already. The organisation is discussing the importance of a leadership transition and succession plan for the future.

IAPRI's leadership was a main target in a strongly critical memorandum from USAID in October 2014 in which it announced it would withhold funding. The critique was considered largely unjust by most stakeholders interviewed. This generated a crisis for IAPRI's management, but by calmly discussing and refuting the claims made in the memorandum the organisation managed to handle the affair and move on.

4.4 GOVERNANCE

IAPRI was incorporated on 5 October 2011 under the Companies Act of Laws of Zambia as a private company limited by guarantee. Guarantors – who each guaranteed K1,500,000 – included INESOR, UNZA School of Agricultural Sciences, ACF, ZNFU and two private individuals.

The Articles of the Institute provides for a minimum of seven and a maximum of eleven members of the Board of Directors. It currently has 11 with UNZA (chair) MCTI (vice chair), MAL, MoF, CSO, UNZA, INESOR, ZNFU, GTAZ, ACF and

MSU being represented on the board. The broad representation on IAPRI's board is strength for the organisation.

The board meets on a quarterly basis, but two extraordinary meetings have also been held. There are three standing committees: the Research & Outreach Committee (the "technical committee"); the Finance & Administration Committee and the Audit & Risk Committee. IAPRI provides comprehensive reports to each committee. The board members receive stipends (equivalent to less than \$US 1250 annually per board member) for each sitting that amount to just under stipends granted to members of government boards.

The board appears to be functioning relatively well. Minutes from meetings reveal sound discussions. The board – and in particular the Research & Outreach Committee – monitor progress and are involved in the annual planning process. IAPRI finds the board inputs to be constructive and useful. While quite a few board members send alternates from time to time, some board members are very active and dedicate hours (in-kind) on a weekly basis to IAPRI. The team was not able to confirm the extent to which board members act as ambassadors and/or fundraisers for the organisation. Some stakeholders interviewed had little or no knowledge of who was represented on IAPRI's board.

There are some unclear issues in the board charter that IAPRI may find pertinent to address to avoid future uncertainty. First, the Board Charter states that "a member of the Board representing a public institution may not be eligible for election or appointment as chairperson". Currently, the chairperson is from UNZA. As a public university, it would logically be considered a public institution. A clearer formulation would be to specify that a member from a government institution would not be eligible, if this is what the Charter is trying to convey. Second, if IAPRI's membership were to grow, it is theoretically possible to have board without government representatives. Given that IAPRI's mandate is to guide and advise the government, it would be prudent to include a clause that a seat or more is reserved for a board member from a government institution.

While it seems that the board contains a relevant cross section of representatives from agricultural policy stakeholder organisations, as the term of its first board comes to an end in the coming months, the board may wish to consider whether IAPRI could benefit from other organisations becoming members such as, for example, the Zambia Land Alliance.

4.5 FINANCIAL SUSTAINABILITY

IAPRI's budget for 2014 to 2018 is MUSD 15.2. The main source of income is Sweden's grant of MSEK 48 (roughly MUSD 8) for five years covers just over half the proposed budget. Initially it was expected that USAID would co-finance IAPRI with

Sweden. This support has yet to materialise, but is expected during the course of 2015.

Roughly half of IAPRI's budget is dedicated to staff costs. IAPRI has consciously set salaries at levels that are competitive with international organisations in the region. Since building analytical capacity is a long-term undertaking, a high level of staff retention is critical for a research institution's success – particularly a nascent one like IAPRI. According to informants, experience from the region shows that research organisations that have lower salary levels in line with the public sector or universities have resulted in "brain-drain" tendencies that negatively affect productivity and institutional sustainability.

The vulnerability experienced by the strong dependency on a single donor has firmly motivated IAPRI and its board to dedicate 2015 to establishing a diverse funding base and stake out options to ensure long-term financial sustainability.

In response IAPRI has in recent months established a consultancy wing – the Business Development Unit. Currently the plan is that consultancy fees will be used to address funding gaps. In 2013 IAPRI earned around \$US 125,000 in consulting fees. In 2014 it was estimated to be around \$US 250,000. IAPRI aims to gear up for more consultancy work by enhancing its proposal-writing capacity. According to IAPRI, there are enough requests and potential consultancy assignments that it could revert to consulting fulltime in times of extreme funding scarcity.

In line with the board's decision, IAPRI's policy for taking on consultancy assignments is that the assignments must be in line with current priority areas of the organisation. For instance, the assignment on behalf of the World Bank concerns the political economy of maize which is strongly in line with the work plan of 2015.

IAPRI is also seeking funds from different donors. It is engaged in dialogue with/has secured funding from FAO, MUSIKA, the DfID project ZEAP, the commercial firm SEEDCO and GIZ. It also hopes that future ties with new academic institutions abroad will provide opportunities for new funding sources.

Funding from the Zambian government sources could in theory be a way forward to obtain greater sustainability. However, there was consensus among informants – including government stakeholders – that this would be a highly undesirable option in the medium term. It was felt that IAPRI's independence and impartiality are critical and the risk of political interference and/or perceived bias would be too high.

A couple of stakeholders believe that there is scope for donations from the commercial agricultural sector. In South Africa private companies play this role. While there is scope for tax breaks on corporate donations, there is no tradition among companies to engage in philanthropy towards research institutes. Nevertheless, since IAPRI is in

frequent contact with the private sector and the latter stands to gain from a well-functioning impartial research outfit, raising the issue with the private sector would be worthwhile.

It was noted that the data that IAPRI has at its disposal is considerably larger than it actually uses. Much of this data could be of great value to the agricultural commercial sector. A possibility in the future would be to establish an enterprise that would sell analytical products and services to the private sector and use profits to fund IAPRI's public service goods. Such a set-up would require a tight firewall between the two organisations.

5 Conclusions and Recommendations

This chapter presents the review's conclusions regarding IAPRI's effectiveness, relevance and efficiency. The final section includes recommendations for IAPRI and the Swedish Embassy.

5.1 EFFECTIVENESS

IAPRI has made impressive progress in the short span of its existence. Thanks to the legacy of the FSRP, IAPRI could hit the ground running with its **research effort**. It has since produced a sizable amount of quality research that stakeholders have found both reliable and useful. While it has not met its own annual research output targets, it has produced more outputs in total than in the last three years of the FSRP. Ensuring from the start that the research work met high standards of productivity and quality – with some support from MSU – was a sound priority given the centrality of research for an institute like IAPRI.

Recognising that quality research alone will not lead to desired results, IAPRI has conscientiously stepped up its **outreach work** in the last year. It is diversifying its channels and means of communication and identifying new strategies to reach more stakeholders. There are indications that the policy discourse is moving into the public domain.

As IAPRI develops its outreach activities, it will be critical to identify actors that can leverage IAPRI's research in their advocacy efforts. This has taken place to some extent already. There is, however, scope to broaden and deepen strategic alliances with this objective in mind.

Observers agree that agricultural policy change in Zambia stands a much better chance of being realised if efforts are also made to influence from below. Rural populations need information to understand how policy reform can benefit them and they need a voice in how these policies are formulated. The two provincial workshops were important steps in this direction, but generally the outreach activities directed at rural areas have been limited. IAPRI is examining media channels and infotainment on radio as potential means to reach the grassroots. Another alternative would be for IAPRI to make itself available on a demand-driven basis to district government, CSOs and farmers' organisations at sub-national level that express interest in joining and contributing to the national discourse on agricultural policy. This is an important area for future engagement, but the massive scale of these needs is such that IAPRI

will need to be selective and identify viable entry points where other actors are prepared to take on major roles.

IAPRI has aimed to be strategic in its **capacity development** efforts to serve its own objectives – including its more long-term goals. The training conducted has been highly appreciated. As knowledge of its research competence spreads among stakeholders, and as the demand for evidence-based analysis increases, the desire for capacity building support among partners is likely to intensify. IAPRI's intention to give priority to its research and outreach work while being more discerning and restrictive about its capacity building work is a sound approach.

The credibility and respect gained from both its work and from being recognised as an indigenous and independent organisation has allowed IAPRI to play a **significant role in the national policy arena**. It has developed good relations based on trust with the government – but is equally appreciated by the private sector, civil society actors, legislators, international organisations and donors. It has thus earned the authority to convene the different parties and provide a platform for dialogue.

There is already evidence of IAPRI contributing to an **improved agricultural policy environment** – although this is mostly taking place in Lusaka. Stakeholders are increasingly referring to findings, conclusions and figures produced by IAPRI. A demand for quality statistics and evidence based analyses has been created and the agricultural debate has become more focused. The platforms that IAPRI provides allows stakeholders to engage more actively than before. The general public has more access to analytical information about agricultural policy concerns than before.

The achievement of **actual policy shifts** has been relatively small compared to what stakeholders had hoped for by now. Nevertheless, maize meal subsidies have been dropped, respectable progress has been achieved in relation to operationalising the Agricultural Credit Act and there is at least a promise of introducing a voucher system for input subsidies in the coming year. Prospects of making more headway in the near future are deemed relatively good. With the new agricultural minister, the scope for moving several of the key agricultural policy issues forward has never been better. IAPRI is thus hitting its stride at an opportune point in time. On the other hand, if no significant progress is made in the upcoming period, stakeholders risk losing interest and faith. Already some fatigue is setting in among private sector actors who participate in processes without seeing discernible results.

5.2 RELEVANCE

IAPRI's research work is relevant to pro-poor agricultural growth in Zambia. The topics are chosen with the production of a public good in mind. IAPRI is also conscious of ensuring relevance in relation to emerging issues and has organised itself internally to this regard. IAPRI's work is also relevant to the Swedish development strategy for

Zambia and is responsive to the government's needs and requests as well as those of other stakeholders.

IAPRI is aware that maintaining a high level of relevance will constitute a careful balancing act. It will involve balancing:

- Taking strategic decisions on how to develop capacities in different research areas – climate change, nutrition, gender and agriculture while maintaining quality standards and with only modest expansion of senior staff;
- Its own public good priorities with responding to external demands and opportunities to earn income (e.g., through consultancies) without becoming overstretched;
- Close and trusting dialogue with government while retaining independence;
- Current research efforts with forward-thinking work to identify tomorrow's issues and what is currently below the radar; and,
- Expanding and deepening partnerships at the national level while also building relations at the sub-national, regional and international level.

While some stakeholders would like to see a more visible IAPRI, too much exposure of the organisation itself (as opposed to its products) could be counter-productive. Its brand is best nurtured through reaching out with its work. Nevertheless, modest public relations efforts that showcase IAPRI's capacities and highlight its independence are likely to be useful and would promote transparency. IAPRI's ambition to hold annual open days is a good initiative.

5.3 EFFICIENCY

When viewed in relation to the quantity and quality of outputs, the effects achieved and the likelihood of outcomes, the Swedish Embassy is obtaining good value from its contribution.

In a short time span IAPRI has built organisational structures and systems and transitioned from a project to an independent indigenous institute. A proficient M&E system has been set up – including a strategic plan, detailed annual work plans and a monitoring framework. It has established a supportive working environment and developed a committed, proud and competent staff. The institute has benefitted from competent leadership and a functioning board with broad representation. An indication of its organisational strength was its ability to deal with the harsh critique from USAID and weather a potentially damaging crisis without affecting its performance.

New organisations tend to focus on more immediate challenges in their first years. Because IAPRI has travelled so far in its first years, it is able to raise its head and see potential challenges that are on the horizon – namely institutional and financial sustainability and the balancing acts it needs to achieve to continue to remain relevant and maintain research quality. The successes so far create higher expectations and greater demand, which makes the threat of failure seem more acute as there is a longer distance to fall.

Developing an adequate and realistic succession strategy for the institute is of importance. The organisation will need to be structured so that the momentum and effectiveness can continue in the face of leadership changes. The executive director is aware of this and is committed to working towards a plan.

Attracting and retaining qualified and suitable staff; ensuring that the staff body has sufficient expertise in all the issues at hand; and, obtaining a critical mass of senior research fellows are challenges IAPRI faces to operate optimally. Providing young researchers opportunities for a career path will also develop internal competences and contribute to institutional sustainability.

Related to this, connecting with other academic institutions and undertaking joint initiatives has the potential of enhancing research capacities and scope, but also carries with it transaction costs and dangers of being distracted from Zambian priorities. Nonetheless, as bilateral development cooperation with Zambia shrinks along with middle income status, this will affect the landscape for research funding. In the future it may be increasingly essential to access more ‘conventional’ funding (and staff training opportunities) through joint international research programmes financed by research councils or through the CGIAR system, rather than the existing bilateral relationships.

Providing relatively high salaries is a good strategy to ensure staff retention and thus contribute to institutional sustainability. Such a strategy makes regularly gauging staff performance particularly critical to ensure staff accountability and efficiency.

The reliance on one main donor is a great concern for IAPRI. It is actively working to improve the organisation's financial sustainability and exploring different possibilities. In addition to identifying future core donors, this includes obtaining smaller project support from new donors, taking on consultancy work and partnering with foreign academic institutions. While diversification of the funding base is critical, it will be important to examine the full cost of each new potential contribution. Reporting requirements of donations of as little as \$US 10,000 from exigent donors have been known to take as much or more than the core funding from Sweden.

5.4 RECOMMENDATIONS

9. IAPRI should consider adjusting its results framework in line with the pointers provided in annex 5. In particular it should ensure that its targets are realistically attainable within the given timeframe.
10. As IAPRI expands the channels and targets of its outreach, providing easy access to its products becomes even more critical. As a matter of priority, IAPRI should ensure that its website is fully functional, up-to-date and user-friendly.

11. IAPRI should continue to explore means of reaching the meso level (especially districts). Although undertaking such outreach alone is beyond IAPRI's resources and current capacity, IAPRI could support sub-national stakeholders that are interested in involving their constituencies in the national discourse. IAPRI could publicise such an offer of support in relevant media. Efforts could be jointly funded or funded by local partners or projects.
12. IAPRI should continue to explore modest public relations efforts. Such efforts should showcase its brand as an independent institute with strong capacity.
13. IAPRI should continue its active pursuit of new funding sources outside of traditional bilateral donors. As IAPRI diversifies its funding, IAPRI should examine reporting requirement carefully and weigh in the costs of administer small grants.
14. In order to ensure that IAPRI both remains relevant and also maintains its research quality standards, a clear and explicit focus is needed on raising funds and recruiting for senior researchers in gender, climate change and nutrition.
15. Sweden should continue providing core support to IAPRI while engaging in a discussion, together with other potential donors, of how to enhance senior research capacities in gender, climate change and nutrition.
16. The Swedish embassy in Zambia should inform the Sida research division in Stockholm of its support for IAPRI and request that they encourage contacts with relevant CGIAR institutions receiving Swedish support and with relevant Swedish institutions as well (e.g., the AFRINT group at Lund University).

Annex 1: Terms of reference

Terms of Reference for the Mid Term Evaluation of Indaba Agricultural Policy Research Institute (IAPRI)

Date: 2015-01-29

Case number:51190061

1. Background

Indaba Agricultural Policy Research Institute (IAPRI) is a nonprofit company limited by guarantee with its roots in the project known as Food Security Research Project (FSRP). FSRP was established in 1999 as a collaborative effort between the Ministry of Agriculture and Livestock (MAL), the Agricultural Consultative Forum (ACF) and Michigan State University (MSU). FSRP began with the initial funding from USAID/Zambia and beginning 2007, Sida started funding it also. FSRP during this period did a lot of work in applied agricultural policy research, capacity building and outreach activities. The FSRP work was mostly used as insights to government and private stakeholders' on agricultural policies. However, as a donor funded project, FSRP did not provide an exit strategy after the project life despite its work being appreciated and needed in Zambia. It was thus suggested by stakeholders in the agricultural sector to transform FSRP project into a local institution in order continue the work that FSRP was doing and also build local capacity for sustainability purposes. FSRP was converted into a local institution that was launched in October 2011 as the Indaba Agricultural Policy Research Institute (IAPRI). The board of IAPRI is drawn from; the University of Zambia, Ministry of Agriculture, The Zambia National Farmers Union, The Institute for Economic and Social Research (INESOR), ACF, two independent individuals, the Ministry of Finance, one international University currently represented by MSU, the Ministry of Commerce, Trade and Industry and The Grain Traders Association of Zambia

IAPRI's mandate (which is similar to FSRP) is to utilize empirical evidence to advise and guide the Government of Zambia and other stakeholders on agricultural investments and policies. The overarching goal of IAPRI's policy analysis and outreach efforts is to identify policies and investments in the agricultural sector that can effectively stimulate inclusive economic growth and poverty reduction. This is to be achieved through three core operational activities:

- 1) Producing trusted, impartial, and high-quality research on agricultural, food, and natural resource policy issues in Zambia and the wider southern Africa region;

- 2) Integrating research findings into national, regional, and international programs and policy strategies to promote sustainable agricultural growth and cut hunger and poverty in Zambia; and
- 3) Supporting the development and strengthening of capacity for policy research, analysis and outreach of public and private institutions in Zambia

To continue with its work, IAPRI approached the Embassy of Sweden and USAID for continued financial support. In 2013, IAPRI signed an agreement with Sida amounting to 48 MSEK for a period of five years. Sida has so far disbursed the grant for two years ie 2013 and 2014. USAID is still finalising its financial assessment processes.

According to the bilateral agreement between Sida and IAPRI, a midterm evaluation is to be undertaken after 2 years, which would be mid-2015. However, due to the findings of a few weaknesses in USAID's pre-award assessment it has been decided that the midterm evaluation should be done early 2015 instead. The pre-award assessment will be discussed with the evaluators upon commencement of the work.

Due to the significance of these concerns the Embassy sees the need to verify their accuracy through an evaluation that also include an analysis of the evidence as to whether IAPRI is attaining its objectives as stipulated in the results framework.

2. Evaluation Purpose and Objective

The midterm evaluation of IAPRI will be important to examine the efficiency of the programme in achieving its intended objectives, its relevance to agricultural stakeholders who are involved in agricultural policy activities. This evaluation will also identify areas of improvement for the remainder of the agreement period. The evaluators will be external to ensure that analysis and findings (particularly the assessment of IAPRI's contributions to its key result areas) are objective. The intended users of the evaluation findings will be the Embassy of Sweden (Sida), USAID and IAPRI. The evaluation should prioritise recommendation for IAPRI.

The specific objectives of the evaluation are to:

- assess performance of IAPRI in terms of relevance (the extent to which the IAPRI works conforms to the needs and priorities of the target beneficiaries/including policy makers), efficiency (with regards to attaining results in relation to the agreed results frame work and the IAPRI core operational objectives).
- identify operational and managerial lessons learned and recommendations that will help IAPRI manage funding streams and relationships from multiple donors
- identify lessons learned from the experiences of transforming a project to a locally registered independent research institution such as IAPRI
- provide recommendation on how to improve implementation of the programme and apply lessons learnt

3. Scope and Delimitations

The mid-term evaluation will cover IAPRI's activities from January 2012 to December 2014. The evaluation will focus on the activities that were agreed with the Embassy of Sweden as indicated in the results framework and operational objectives of IAPRI. The evaluation will also look at the transformation process of FSRP into IAPRI and document lessons learnt and areas of improvement.

The stakeholders to be selected for interviews during the evaluation will include IAPRI board members (which include government officials), IAPRI staff, SIDA and USAID staff as donors, MAL key stakeholders, and some Sida funded projects such as iDE, Musika and ZNFU management staff and private sector users of IAPRI policy output works.

4. Organisation, Management and Stakeholders

The Evaluation team will report and coordinate directly with IAPRI with regular reporting to the Embassy during the evaluation and report writing. The Embassy of Sweden's primary point of contact will be the National Programme Officer in charge of IAPRI.

To safeguard independence, the Embassy will play an ongoing advisory and at a minimum reviewing the choice of the stakeholders to interview. The Embassy will reserve the right to contact the evaluation team independently for a progress update at any point during the evaluation period.

In line with Sida's standard approach, this evaluation will be carried out in a spirit of partnership and participation.¹⁰ The Embassy of Sweden, USAID and IAPRI will be given the opportunity to comment on the inception and draft reports before final reports are submitted; ensuring reports are as accurate, relevant and useful as possible. The Embassy of Sweden will provide a management response for the evaluation, per Sida's standard evaluation protocol.

Bidders will be expected to explicitly address how they intend to maintain objectivity and independence while conducting this evaluation. Bidders should also propose project quality performance measures that will be finalized and agreed upon before the start of the contract and refined during the inception phase if needed. Examples include measurements of the extent to which the evaluation meets ethical standards, as well as feasibility, relevancy and accuracy.

5. Evaluation Questions and Criteria

The proposed evaluation questions are indicated below. Additions or amendments to the questions are welcome. The final list will be agreed upon before the signing of the contract and may continue to be interpreted and refined during the inception phase.

¹⁰ Sida, 2007. Sida Evaluation Manual – Looking Back, Moving Forward. 2nd Revised Edition.
http://www.sida.se/globalassets/publications/import/pdf/en/looking-back-moving-forward_2561.pdf.

- To what extent has IAPRI achieved its key results areas with reference to the results framework and its operational objectives?
- To what extent can we say that the changes in the agricultural sector with regard to policy implementation are as a result of IAPRI's work rather than other institutions and or extraneous factors?
- What are the reasons for the achievement or non-achievement of the results frame work and its operational objectives?
- What can be done to make the intervention more effective?
- Is IAPRI's work consistent with the results frame work, the donors and the policies of other agricultural stakeholders such as the government
- Has IAPRI been consistent with agricultural policy issues in support to the government and other like minded organisations?
- How can IAPRI's work be more relevant to the agricultural sector and other agricultural stakeholders
- Has IAPRI work been managed with reasonable regard for efficiency? What measures have been taken during planning and implementation to ensure that resources are efficiently used?
- Could IAPRI's work have been implemented with fewer resources without reducing the quality and quantity of the results? Could more of the same results/outputs have been produced with the same resources?
- Is IAPRI's work consistent with partners' priorities and effective demand? Is it supported by government and other Sida funded organization in the agricultural sector?
- Do owners of IAPRI/stakeholders participate in the planning and implementation of the workplan?
- is IAPRI characterized by good governance, including effective management and organisation?

6. Conclusions, Recommendation and Lessons Learned

The evaluation team will be required to provide conclusions, recommendations and lessons learnt in areas of efficiency, relevance, operation and managerial experiences of handling and transforming FSRP to a local institution - IAPRI. In addition, any other experiences regarding IAPRI discovered during the assignment should be documented.

7. Approach and Methodology

Bidders are expected to propose a more detailed approach and methodology, but some parameters are provided below.

The evaluation team will take a look at IAPRI's results frame work, work plan, operational objectives and analyse the theory of change. They will look at the assumptions or causal links and external risks or influencers in achieving programme objectives during the Inception Phase, suggesting revisions as needed.

The Embassy welcomes bids that will include a broad, robust and appropriate range of qualitative and quantitative methods. The methodology should take into account the presence of many confounding factors and the lack of a valid counterfactual, which may make it difficult

to establish causality between IAPRI's outputs and observed changes in the agricultural policies in the country. IAPRI's contribution to the changes in the agricultural sector policies will likely be assessed through qualitative contribution analysis or process tracing techniques.

IAPRI will provide relevant data to the evaluation team to help them assess trends in key outputs. The evaluation team will also need to conduct interviews and potentially collect relevant primary sources (e.g., for validation of activities and outputs). The bid should include a detailed description of the data sources, methods and rationale for additional data that need to be collected, illustrating understanding of how to best approach sensitive and confidential areas of work. The data collection and evaluation must conform to the quality standards of OECD Development Assistance Committee (DAC).

The bid should outline the sampling rationale and methodology for selecting and recruiting those to be interviewed. The engagement of stakeholders, especially but not limited to senior government officials, should not unduly disrupt their normal activities and should yield greater benefit than burden.

8. Time Schedule

The time schedule and work plan required should be included in the bid and refined in the inception report. It should include timeline for meetings with IAPRI, the Embassy of Sweden and USAID, field visits and deliverables.

The mid term evaluation will be conducted over a period not exceeding 30 days starting in Mid-February 2015.

9. Reporting and Communication

The reports must be written in clear and concise English language and consist of a maximum of 25 pages excluding annexes.

Deliverables

Final Deliverables	Drafts	Final
Inception report	9th March	13th March
Midterm evaluation report	3rd April	22nd April
Presentation of results		

i. Inception report

The Inception report must include detailed work methodologies, a work plan and, list of major meetings and interviews, detailed evaluation questions, draft and final inception report. The

evaluators will set out how data (whether it is quantitative or qualitative) will be collected and validated, how assumptions will be tested at relevant time periods required, and how data from multiple sources will be triangulated

To support the delivery of this output the evaluation team will be provided access to qualitative data, such as routine reports and updates produced by IAPRI to the extent that it does not compromise confidentiality agreements and/or jeopardize working partnerships held by IAPRI

ii. Draft final report

The evaluation report should present findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them.

The Embassy of Sweden and the relevant stakeholders (USAID/IAPRI) will submit comments on the draft final report to the consultant one week after receiving the draft report. The draft final report will be commented only once. The commentary round is only to correct misunderstandings and possible mistakes, not to rewrite the report.

iii. Final report

The final report must be submitted one week after receiving the comments. The final report must follow the report outline agreed on during the inception phase.

iv. Presentation on the appraisal findings

The evaluation team is expected to give a presentation on the findings to the Embassy of Sweden, IAPRI and USAID

10. Resources

The budget range for the mid-term evaluation is expected to be under SEK..... Bidders are reminded that they should demonstrate good value for money as part of their bid. This should cover time, travel and other expenses for the inception phase, field visits and reporting phases, as well as at least one meeting in Lusaka (?)

Due to the relatively short duration of this contract, the technical bid must include a detailed work plan for the entire contract duration, though there will be opportunities to revise the work plan during the project, and a formal opportunity to revise the inception report before the final evaluation.

The Evaluator is expected to supply their own logistic plans including travel, transport, communications and work space. This will include independently recruiting staff, designing the evaluation, collecting evidence and producing outputs as required. IAPRI (with the Embassy) will provide information, contacts and program data. Some in-country support from IAPRI may be provided during field visits if arranged during the inception phase. However, this cannot be relied upon.

11. Evaluation Team Qualification

The bidder is expected to demonstrate the following qualifications through inclusion of CVs in the bid:

1. A lead evaluator should have least 5 years experience with strong evaluating expertise policy oriented programmes particularly agricultural policy
2. Expertise in the design and conduct of theory-based evaluation studies and/or contribution analysis techniques.
3. Extensive experience in conducting mixed methods research and analysis.
4. Experience working with relevant donors and partners, and/or in relevant country contexts.
5. Experience and/or academic background in agricultural economics and or agricultural policy .
6. Demonstrated ability to function in a team setting, to lead or facilitate meetings, and to communicate effectively and sensitively with high-level government and stakeholder staff.
7. Knowledge about the context of Zambian agricultural politics.

Annex 2: Evaluation matrix

Evaluation questions	Indicators	Methods and sources
Effectiveness		
1. To what extent has IAPRI achieved its key results in relation to its results framework and its operational objectives? 2. To what extent has IAPRI's work contributed to changes in policies and policy implementation, taking into account the influence of other institutions and/or contextual factors?* 3. What are the reasons for the achievement or non-achievement of the results frame work and its operational objectives? 4. What can be done to make the intervention more effective?	• Greater emphasis on implications for poverty reduction in agricultural policies and the public discourse on agricultural policy. • Evidence of IAPRI influence in agricultural bills proposed and acts passed. • Evidence of increased private sector participation in agricultural extension, input and output agricultural marketing related to changes in policies and their implementation to which IAPRI has contributed. • Evidence of public sector spending that may facilitate pro-poor agricultural growth (typology to be developed)/evidence of IAPRI influence on public sector spending priorities • Number, types and subjects areas of research outputs • Research outputs provide a basis for <i>pro-poor</i> policy direction (based on typology) • Evidence of communication, collaborative partnerships and strategic alliances with other organisations including gov-	• Document review • Analysis of a sample of the re-search work in relation to utility, quality and credibility • Discussions with capacity building partners • Interviews with stakeholders • Interviews with (potential and actual) strategic partners

	ernment departments, agencies, policy makers, farmer organisations, CSOs and other policy/research actors leading to a more informed public discourse on agricultural policy and implications for poverty reduction. • Number, length and content of training sessions to MAL/CSO staff in data collection, validation, analysis and presentation • Evidence of improved awareness and capacity of MAL/CSO staff to undertake demand-driven <i>pro-poor</i> evidence-based policy analysis • Number of local policy presentations/ stakeholder dialogue/media engagements made to target various sets of stakeholders (government, politicians, civil society, private sector, farmer organisations, agricultural extension services, academics, media)	
Relevance		
1. To what extent is IAPRI's research work relevant in relation to the prevailing discourse on paths towards broad based poverty reduction and pro-poor agricultural growth in Zambia? 2. To what extent is IAPRI's work relevant to the Swedish development strategy for Zambia, including climate change and gender equality concerns? 3. To what extent is IAPRI's work responsive to the government needs and requests?	• Evidence of IAPRI's research work aligning with and/or informing the public discourse on paths towards broad based poverty reduction and pro-poor agricultural growth in Zambia. • Evidence of IAPRI research, capacity and outreach efforts taking into consideration gender equality and poor women's strategic and practical agricultural needs and access to services. • Evidence of the IAPRI research, outreach and capacity building activities are perceived by stakeholders as being credible and in a form that directly contributes to their own decision-making processes.	• Analysis of a sample of research products in relation to pro-poor typology • Analysis of Swedish, government and other stakeholder pro-poor priorities/strategies and the extent to which IAPRI's work aligns with these • Discussions with stakeholders on needs and the extent IAPRI are able to meet these

4. Is IAPRI's work consistent with stakeholder (ZNFU, CSOs, private sector, academia, other donors, other Swedish-funded organisations) priorities, needs and requests? 5. To what extent is IAPRI's work responsive to emerging agricultural issues and needs in the Zambian agricultural sector (including climate change adaptation and mitigation)? 6. What can be done to make IAPRI's work more relevant?	• Evidence of responsiveness to government and other stakeholder queries and needs. • Evidence of IAPRI activities that respond to emerging issues and current events.	• Analysis of IAPRI reports, IAPRI research • Interviews with • IAPRI stakeholders • Media reports
Efficiency		

1. Has IAPRI work been managed with reasonable regard for efficiency? What measures have been taken during planning and implementation to ensure that resources are efficiently used? 2. Do owners of IAPRI/stakeholders participate in the planning and implementation of the work-plan? 3. Could IAPRI's work have been implemented with fewer resources without reducing the quality and quantity of the results? Could more of the same results/outputs have been produced with the same resources? 4. Is IAPRI characterized by good governance, including effective management and organisation?	• Evidence, number and relevance of internal capacity development activities • Effective and efficient IAPRI governance and management system in place • Evidence of cost consciousness • Evidence of active regular or ad hoc participation of IAPRI stakeholders (government, CSOs, private sector, academia) in IAPRI planning and implementation processes • Extent of board member engagement in the planning and implementation of work plan • Extent of stakeholder ownership for IAPRI • Effective and efficient governance and management structure and system in place • The extent there are Quarterly Executive Board meetings (that include review of cost efficiency issues), Monthly Management Meetings, Quarterly Staff Meetings, Annual Audit, Quarterly monitoring and evaluation, Annual Staff performance appraisal, Annual training of staff.	• Interviews with IAPRI and board members • Review of audited accounts, Programme health check, Audited accounts, Governance documents, Board reports, Board agendas • Meeting minutes, Budget and cost structure review • Interviews of stakeholders, IAPRI and board members • Document review
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Annex 3: List of documents reviewed

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Annex 4: List of informants

Name	Position
1. Banda Reuben	Chief Executive Officer, Musika Development Initiatives, Lusaka
2. Chapoto, Antony	Research Director, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
3. Chikolwa Nsama	Executive Director, Zambia Land Alliance, Lusaka
4. Chisanga, Brian	Research Associate I, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
5. Chishimba, Mwamba	Data and Information Technology Manager, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
6. Daka Daniel	Board Member/Assistant Director, Agriculture Division, Central Statistical Office, Lusaka
7. Elias, Kuntashula	Head of Department, Agricultural Economics and Extension Department, School of Agriculture, University of Zambia, Lusaka
8. Flygare, Ulväng Sara	First Secretary Bilateral Section, Swedish Embassy, Lusaka
9. Hichaambwa, Munguzwe	Senior Research Associate/Head - Consultancy and Training, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
10. Jayne, Thom	Board member/Principal Investigator - FSRP, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
11. Kabaghe, Chance	Executive Director, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
12. Kabwe, Stephen	Research Associate II, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
13. Kuteya Auckland	Research Associate II, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
14. Machina, Kenneth	National Coordinator, International Development Enterprises (IDE), Lusaka
15. Mahove, Golden	International Labour Organisation, Lusaka
16. Malawo, Emma	Board member/Director, Policy and Planning Department, Ministry of Agriculture and Livestock, Lusaka
17. Mbinji, Joseph	Board Member/Executive Director, Agriculture Consultative Forum, Lusaka
18. Mofya – Mukuka, Rhoda	Research Fellow, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
19. Moyo, Medison	Board Member/Budget Analyst, Budget Office, Ministry of Finance, Lusaka
20. Mulimbika, Tobias	Board Member/Director of Industry, Ministry of Commerce, Trade and Industry, Lusaka

Name	Position
21. Munsaka, Eustansia	Monitoring and Evaluation Officer, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
22. Mwaanga, Cosmore	Chief Policy Analyst, Policy and Planning Department, Ministry of Agriculture and Livestock, Lusaka
23. Mwala, Mick	Board Chairman/Dean of School of Agricultural Science, University of Zambia, Lusaka
24. Mwale Jacob	Board Member/Executive Director, Grain Traders Association, Fertiliser Association of Zambia and ZAMACE, Lusaka
25. Mweemba, Bruno	Director of Finance & Administration, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
26. Namonje, Thelma	Research Associate I, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
27. Ndambo, Ndambo	Board Member/Executive Director, Zambia National Farmers Union, Lusaka
28. Newa, Zoole	National Programme Officer – Agriculture, Embassy of Sweden, Lusaka
29. Nkole, Joseph	National Coordinator, Cotton Association of Zambia, Lusaka
30. Samuwika, Sage	Assistant Committee Clerk, Committee on Agriculture and Lands of Parliament, Lusaka
31. Shawa, Julius	Permanent Secretary, Ministry of Agriculture and Livestock, Lusaka
32. Sikombe, Derrick	Chief Agriculture Economist/CAADP Coordinator, Policy and Planning Department, Ministry of Agriculture and Livestock, Lusaka
33. Sitko, Nicholas	Research Fellow/Chief of Party - FSRP, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
34. Sooka, Masiliso	Senior Statistician, Agriculture Division, Central Statistical Office, Lusaka
35. Tembo, Solomon	Senior Research Associate, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
36. Toness, Anna	Economic Growth Team Leader, US Embassy, Lusaka
37. Viking, David	Head of Development Cooperation, Swedish Embassy, Lusaka
38. Wood, Dennis	Independent Board Member, Private sector user of IAPRI policy outputs, Free Lancer Consultant, Lusaka
39. Zulu, Ballard	Outreach Director, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
40. Zulu, Chiwego	ReNAPRI Coordinator, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka
41. Zulu, Olipa	Research Assistant to Research Director, Indaba Agricultural Policy Research Institute (IAPRI), Lusaka

Annex 5: Notes on IAPRI's results framework

IAPRI's **vision** is too easy - to be the centre of excellence in agricultural policy research - it already is as there is no real competition. It would make more sense to have a vision of a future state for Zambia, perhaps along the lines of a prosperous agricultural sector/prosperous rural economy/reduction in rural poverty/reduction in malnutrition etc.

The results framework states that the **baseline** for policy briefs is 20 and working papers is 20. This does not match the information from the internet. 20 papers have never been produced in any category in any year. In fact, the concept of "baseline" seems to be used unconventionally. For instance, the baseline for FISP inputs distributed through the E-voucher system is 90% - even though the e-voucher system has yet to begin and is actually 0.

If not all working papers result in policy briefs and if sometimes several working papers contribute to a policy brief; the target number for policy briefs should be less than for working papers. Now IAPRI has a target of 20 WPs and 25 PBs.

The outcome "improved agricultural policy environment for pro-poor agricultural growth and broad based poverty reduction" makes sense. However, this objective should not have targets that are beyond what IAPRI can deliver. Currently the targets specified are different major policy shifts. This would seem to be beyond the outcome in terms of ambition. The policy environment can actually improve (i.e. there is dialogue, interaction among stakeholders, use of evidence based material etc.) without policy shifts taking place (yet).

IAPRI does not yet have a fulltime gender researcher on board. Since the end of 2014, one junior researcher is working part-time on gender-related areas. It would therefore appear that its annual target of 3 gender dynamics in agriculture analyses was set without due consideration to available human resource capacities.

Given the number of working papers and briefs produced during FSRP (an average of 9 working papers and 7 briefs were produced in 2009 to 2011), it would seem that the targets for 2012 to 2014 have been over-optimistic. For 2015 IAPRI has reduced most of the targets compared to 2014. They nevertheless remain high compared to outputs produced annually so far.

Consultancy assignments does not equal capacity building. Providing research work for the World Bank is not capacity building.

Strategic partnerships in the results framework among just a numerical target, a number for the total programme period. Strategic partnerships are all about quality of the relationships. The results framework does not capture this.

Annex 6 – Inception report

1. Introduction

The Indaba Agricultural Policy Research Institute (IAPRI) sprung out of the Food Security Research Project¹¹ at the end of 2011. IAPRI's goal is to provide evidence-based advice on the agricultural sector at large. The Government of the Republic of Zambia shall be the principal beneficiary of the advice. Its mission is to conduct agricultural policy research and outreach, serving the agricultural sector in Zambia so as to contribute to sustainable pro-poor agricultural development. In 2013, IAPRI signed a five-year funding agreement with the Embassy of Sweden in Zambia amounting to 48 MSEK. The agreement includes undertaking an independent mid-term review of IAPRI in 2015.

This Inception Report aims to further elaborate the approach set out in Indevolop's proposal for the Mid-Term Review of IAPRI. The purpose of this document is to reflect on the implications of the evaluation questions and scope provided in the ToR, elaborate the methodology, devise a realistic work plan and serve as a tool for the future management of the evaluation process – for both the Embassy of Sweden and the evaluation team. The report has been prepared based on preliminary discussions with the Embassy of Sweden and through an initial document review.

The report consists of 7 sections. The following section discusses the scope of the evaluation. Section 3 discusses the evaluation questions, the evaluation approach and evaluability. Section 4 addresses data availability and limitations. Section 5 presents the proposed methodology. Section 6 outlines the review's performance measures and the final section presents the work plan. Annex 1 contains the evaluation matrix, including the revised evaluation questions, which the team intends to apply throughout the review process.

2. The Evaluation's Scope

2.1 OVERVIEW OF THE ASSIGNMENT

According to the Terms of Reference (ToR), the overarching objective of the evaluation is to identify areas for improvement for the remainder of the agreement period, particularly with regard to effectiveness and relevance. It also mentions identifying operational and managerial

¹¹ A joint project including MAL, ACF, MSU with funding from USAID and Sweden.

lessons, including in relation to transforming a project into a locally registered independent research institution.

The mid-term review covers the years 2012 to 2014. The focus will be on the "results framework and operational objectives of IAPRI".

2.2 STAKEHOLDERS

The team has preliminarily analysed the different stakeholders of IAPRI. The table below provides a summary of this analysis.

Table 1 – Stakeholders

Name	Type	Board member representative	Priority for review	Accessibility
Industry, Ministry of Commerce Trade and Industry	Government	Yes	High	Accessible
Ministry of Agriculture and Livestock – Cabinet Minister	Government	Yes	High	Difficult
Ministry of Agriculture and Livestock – Permanent Secretary	Government	Yes	High	Difficult
Department of Policy and Planning, Ministry of Agriculture and Livestock	Government	Yes	High	Accessible
Department of Policy and Planning, Ministry of Agriculture and Livestock	Director or Chief Economist - Government	No	High	Accessible
Department of Budget, Ministry of Finance	Government	Yes	High	Accessible
Department of Budget, Ministry of Finance	Director or Chief Budget Analyst - Government	No	High	Accessible
Central Statistical Office	Government agency	Yes	High	Accessible
Zambia National Farmers Union (ZNFU)	Civil society association	Yes	High	Accessible
Grain Traders Association of Zambia	Civil society association	Yes	High	Accessible
Agricultural Consultative Forum	Non-governmental	Yes	High	Accessible
Institute of Economic and Social Research, UNZA	Academic institution	Yes	High	Accessible
Michigan State University	Academic institution	Yes	High	TBD
School of Agricultural Sciences, UNZA	Academic institution	Yes	High	Accessible
School of Agriculture, Department of Agric. Economics	Academic institution	No	Medium	Accessible
iDE	International NGO	No	High	TBD
MUSIKA Development Initiatives	NGO	No	High	Accessible
Private sector users of IAPRI policy output works	Commercial	Independent member	High	Accessible
Lands and Agricultural Committee of Parliament	Legislative branch	No	High	Difficult
Ministry of Lands	Government	No	Medium	Accessible
USAID	Donor	No	High	Accessible
Embassy of Sweden	Donor	No	High	Accessible
Economic Association of Zambia	Association	No	Medium	Accessible
Poultry Association of Zambia	Association	No	Medium	TBD

Cotton Association of Zambia	Association	No	High	TBD
Food Reserve Agency	Government Agency	No	Low	Accessible
Jesuit Centre for Theological Reflection (JCTR)	Civil society association	No	Low	Accessible
Civil Society Organizations for Scaling Up Nutrition (CSO-SUN)	NGO	No	Low	TBD
National Food and Nutrition Commission (NFNC)	Government	No	Low	Accessible
Zambia Land Alliance (ZLA)	NGO	No	High	Accessible
Millers Association of Zambia (MAZ)	Association	No	Medium	Accessible
Manufacturers Association of Zambia (MAZ)	Association	No	Low	TBD
Farmer Association of Zambia (FAZ)	Association			Accessible
Centre for Trade Policy Development (CTPD)				
Zambia Economic Advocacy Project (ZEAP)				
Early Warning System-Network (FEW-N)	Project			Accessible
Zambia Marketing Commodity Exchange (ZAMCE)				
Zambia Institute Policy Analysis and Research (ZIPAR)	Research Institution		Medium	Accessible
	Enterprise project		Medium	

3. Evaluation Approach and Evaluability

3.1 EFFECTIVENESS

Effectiveness, or the extent to which IAPRI's objectives have been achieved as a result of the implementation of planned activities, is according to the ToR, a central evaluation criterion for the review. Four questions in the ToR relate to effectiveness. The team proposes a slight rewording of the first two for the sake of clarity:

- 1) To what extent has IAPRI **achieved its key results** in relation to its results framework and its operational objectives?
- 2) To what extent has IAPRI's work contributed to **changes in policies**, taking into account the influence of other institutions and/or contextual factors?
- 3) What are the reasons for **the achievement or non-achievement** of the results framework and its operational objectives?
- 4) What can be done to make the intervention more **effective**?

As outlined in the box below, IAPRI has defined three main areas of *external* results for its work: i) research-related outputs; ii) research-based policy dialogue among stakeholders iii) building the capacity of partners and developing collaborative partnerships. These results are expected to achieve higher level outcomes in the areas of agricultural policy-level influence. (IAPRI's internal strategic objective, to facilitate institutional governance, management and coordination, is discussed under efficiency below.)

Box1: IAPRI Objectives

Overall objective: To facilitate national pro-poor agricultural policy change necessary for pro-poor agricultural growth and broad-based poverty reduction

External strategic objectives
4) To provide quality research for pro-poor agricultural policy dialogue and formulation
5) To facilitate research based stakeholder pro-poor agricultural policy dialogue on key issues
6) To facilitate building of collaborative partnerships with other organisations
Internal strategic objective
1) To facilitate institutional governance, management and coordination

The following sections discuss the evaluability and proposed approach in relation to IAPRI's overall objective and its three main outputs.

3.1.1 Policy influence results

Assessing effects at outcome level is usually problematic before a programme period has run its full course. Not enough time has passed to detect and measure the extent to which efforts in the last couple of years have yielded effects on poverty and pro-poor agricultural growth.

In addition, assessing the extent an organisation has influenced policy change is generally complex and difficult. An organisation can have undertaken excellent advocacy work (in terms of being backed by solid research, broad outreach, capacity development of key partners, strategic media usage, generation of opportunities to dialogue with key stakeholders, etc.) without actually achieving measurable policy influence for many years as it is important to first build trust, credibility and even influence the attitudes of key stakeholders directly or through influence on the broader public discourse. An organisation can also enter on to the scene just when a number of favourable circumstances are in place, and thus only having to exert minimal effort to contribute to results. Moreover, other stakeholders may or may not be aware of and/or recognise the influencing and advocacy efforts of an actor like IAPRI.

Nevertheless, IAPRI reports on certain outcomes that it claims to have contributed to. Some of these are presented in the table below. The team will seek to establish whether IAPRI has indeed contributed to these outcomes and the extent it is been one of many factors, a critical factor or the main factor leading to this outcome.

Table 2 – reported Outcomes of IAPRI

Policy change	IAPRI Input	Effect/Expected effect
Enactment of Zambia's Cotton Act	technical guidance	enables use of warehouse receipts
Enactment of the Credit Act		
Agricultural Marketing Bill		provide more clarity on public sector action in food markets and will promote greater private sector participation in key food value chains

Commodity Exchange Bill	IAPRI chaired the discussions that led to the signing of the Statutory Instrument that operationalises the Agricultural Credits Act on November 4, 2014	will enhance the performance of the agricultural commodity exchange in Zambia
Mealie/maize Meal Subsidies	IAPRI engaged government to remove mealie/maize meal subsidies. In turn government used IAPRI analysis to justify the removal of mealie/maize meal subsidies that were not being passed on to the consumer and a drain to public resources.	

Further, the team will seek to assess if these outcomes can indeed be considered relevant to the prevailing discourse on paths towards pro-poor agricultural growth and broad-based poverty reduction in Zambia. It is beyond the scope of the assignment to judge the relative plausibility of different potential paths towards pro-poor agricultural growth in the Zambian context. Therefore a stylised typology based on generally held assumptions of what might contribute to poverty reduction will be devised and used to provide an overall mapping of IAPRI's different potential channels to influence agricultural policies in relation to relevance to poverty. This is discussed further under relevance.

3.1.2 Research-related outputs

IAPRI's research work relates to undertaking research, generating reports, papers and publications. The evaluability of effectiveness in relation to these outputs is generally fairly good, can be measured by assessing the overall quality, utility and credibility of the research output:

- *Utility* of research depends on how useful it has been/will be for its stakeholders. This includes specifically the government and relevant government agencies, but also agriculturally related associations, NGOs, donors and private sector actors working in agriculture.
- *Quality research* would entail the scientific process encompassing all aspects of study design; in particular, the rigour of data collection, it pertains to the judgment regarding the match between the methods and questions, measurement of outcomes, and protection against biases and inferential error.

- *Credibility* is the extent to which stakeholders deem the research process and results to be believable. It is determined by the extent that i) the research is perceived as being independent, impartial and/or lacking conflict of interest; ii) the research is perceived as being familiar with the context and has expertise in research and the subject matter under investigation; and iii) the extent to which the research is judged to be of high quality (as described above). Research of high quality is thus likely to be useful and credible. However, high quality does not necessarily guarantee credibility and utility.

While the relatively short time allotted to the review will limit the depth and breadth of the assessment in relation to the three criteria above, the team is confident that sampling research outputs and collecting perspectives from key stakeholders will provide enough data to draw basic conclusions.

3.1.3 Research-based policy dialogue among stakeholders

The outputs in this area have included presenting research results and engaging various sets of stakeholders in dialogue on pro-poor agricultural growth and broad based poverty reduction. Assessing results in this area will involve determining who and how many have attended the different fora; whether interest in these events has grown/stayed the same/decreased; the extent to which the dialogue has been interactive; the extent to which the presentations/sessions have been useful to different sets of stakeholders. This would mean gathering data on:

- Number and types of events
- Composition of participants - sets of stakeholders, sex disaggregation,
- Engagement of participants
- Participant reactions to the events
- Quality of presentation material and facilitation

The above indicators would be reliant on the extent to which IAPRI has kept corresponding data (minutes, participant lists, participant evaluations of major events and copies of presentations). Interviews with participants can provide additional qualitative data on the effectiveness of dissemination and dialogue.

3.1.4 Capacity building and partnership results

According to its plans and annual reports, the capacity building efforts of IAPRI include training sessions and mentoring of students. The main beneficiaries appear to be CSO, MAL and UNZA. Assessing capacity development efforts involves feedback from participants in training efforts after such events have taken place to find out the extent to which the training was useful and relevant. It also requires follow-up feedback after a certain amount of time has passed to assess the extent to which participants have applied any learning from training and whether such training is leading to effects at individual, organisational or institutional levels. From the documentation received so far, the extent to which IAPRI monitors capacity development efforts in a systematic way is unclear. Should the amount of readily available data be sparse, the team will assess the capacity building efforts through focus group sessions with

beneficiary organisations, review of training material and discussions with IAPRI.

With regards to strategic alliances, IAPRI's stated targets include public, private, civil society and regional organisations. The team will analyse what alliances IAPRI considers strategic and why; what alliances its stakeholders consider strategic and why; and the number and nature of alliances actually established.

3.2 RELEVANCE

Assessing relevance involves determining the value and usefulness of the evaluated intervention in the perspectives of key stakeholders. More precisely, a development cooperation intervention is considered relevant if it matches the needs and priorities of its target group, as well as the policies of partner country governments and donor organisations (though in this case the latter has more to do with relevance in relation to policy formation processes rather than existing policies, as IAPRI may have an important role in questioning these). Relevance is strongly emphasised in the terms of reference. There are four questions relating to relevance in the ToR. The team has suggested the rewording of these to ensure clarity. Furthermore, taking into account the initial dialogue with the Embassy of Sweden, the team has also added the first and fifth questions to the list below to cover relevance in relation to both pro-poor agricultural growth and emerging issues:

- 1) To what extent is IAPRI's research work relevant in relation to the **prevailing discourse on paths towards** broad based poverty reduction and pro-poor agricultural growth in Zambia?
- 2) To what extent is IAPRI's work relevant to the **Swedish** development strategy for Zambia, including climate change and gender equality concerns?
- 3) To what extent is IAPRI's work **responsive** to the government needs and requests?
- 4) Is IAPRI's work consistent with **stakeholder** (ZNFU, CSOs, private sector, academia, other donors, other Swedish-funded organisations) priorities, needs and requests?
- 5) To what extent is IAPRI's work responsive to **emerging** agricultural issues and needs in the Zambian agricultural sector (including climate change adaptation and mitigation)?
- 6) What can be done to make IAPRI's work more **relevant**?

A key aspect of IAPRI's overall goal is to provide support to Zambia in its pursuit of pro-poor agricultural growth and broad based poverty reduction, which would require the team to consider the relevance of IAPRI's efforts in relation to pro-poor agricultural growth. It is, however, beyond the scope of the assignment to determine what pro-poor agricultural growth in the Zambian context would consist of. On the other hand, the following tentative stylised typology based on generally held assumptions of what might contribute to pro-poor agricultural growth will be used to provide an overall sense relevance to poverty. This typology will be adapted by the team in the course of the evaluation.

Topics				
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Impacts of policies for subsidies and other support on smallholder production and profitability				
Factors determining the resilience of smallholders to climate and market volatility				
Labour opportunities on larger farms for the rural poor				
Women's agricultural activity and women's crops				
Inclusion of smallholders in markets				
Employment opportunities for rural poor in processing activities				
Access to financial services for rural poor				
Access to extension services for the rural poor				
Land rights and land tenure for rural poor				
Inclusion of the poor in institutions for collective action (including but not restricted to ZNFU)				

The extent the research addresses these topics will be assessed on a scale of 0 to 3.

Relevance will also be assessed in relation to Sweden's overall policies and strategies for Zambia. This will involve examining the extent to which IAPRI's research, outreach and capacity development takes into consideration gender equality and poor women's strategic and practical agricultural needs and access to services.

Relevance of IAPRI's efforts in relation to the needs and priorities of its key stakeholders requires assessing its responsiveness to government and other stakeholder queries and needs. This will involve gathering data on the extent to which IAPRI research, outreach and capacity building activities are perceived by stakeholders as being credible and in a form that directly contributes to their own decision-making processes. Likewise, IAPRI's responsiveness and capacity to address emerging issues and current events will be assessed to determine relevance.

3.3 EFFICIENCY

Efficiency is the relationship between the means and the end and concerns the use of resources. Management, administration, governance and internal capacity development are usually viewed as aspects of efficiency as they each determine a dimension of an organisation's efficient use of resources. There are four questions in the terms of reference related to efficiency:

- 1) Has IAPRI work been **managed** with reasonable regard for efficiency? What measures have been taken during planning and implementation to ensure that **resources are efficiently used**?

- 2) Do owners of **IAPRI/stakeholders participate** in the planning and implementation of the work plan?
- 3) Could IAPRI's work have been implemented with **fewer resources** without reducing the quality and quantity of the results? Could more of the same results/outputs have been produced with the same resources?
- 4) Is IAPRI characterized by **good governance**, including effective management and organisation?

The team will conclude regarding IAPRI's operational and managerial experiences of handling and transforming FSRP to a local institution.

Challenges to evaluating the efficiency questions presented in the ToR include determining what can be regarded as “a reasonable regard for efficiency” and addressing the hypothetical nature of question 3 above. While the team would be able to gather data to provide indication of IAPRI's efficiency in relation to these questions, an in-depth treatment of these questions will be not be possible given the time and resources available.

Assessing efficiency will rely on interviews with both IAPRI's staff and board. It will also require the review of documents such as the minutes of the quarterly executive board meetings (that include the review of cost efficiency issues), monthly management meetings and quarterly staff meetings. It will also involve reviewing the health check from 2014, annual audits, quarterly monitoring and evaluation, and documentation related to annual training of staff.

4. Data Availability and Limitations

A mid-term review such as this one has a few inherent limitations: by being a *mid-term* assessment, by definition not all processes have been completed or undertaken; thus not all outputs and outcomes have been achieved. Second, the short timeframe and level of resources dedicated to the process sets limitations to the breadth of data collection and depth of analysis that can be expected of the team. As mentioned above, while the review of the research outputs (in relation to utility, quality, credibility and relevance in relation to pro-poor agricultural growth) can be systematic, it will need to be "light touch". Likewise, the analysis of efficiency will be cursory.

The extent that there is easy availability of data also determines the limitations of the review. So far, the review team has received the following material:

- Annual reports from 2012 and 2013 - including audited accounts
- Progress reports from 2013 and part of 2014, in relation to the Results Framework/Log frame
- IAPRI's results framework and budget and work plans for 2013, 14 and 15
- The Board Charter, Articles of Association, certificate of incorporation
- Sweden's Audit/Health check of IAPRI from 2014
- Minutes of meetings between IAPRI and the Embassy of Sweden

Through IAPRI's website, the team has access to IAPRI's full set of research papers,

presentations and publications.

The team expects to be able to meet with a significant number of stakeholders (see table 1 above) that will provide information on IAPRI's work, which can be used to triangulate data.

The annual reports and the 2013 progress matrix state specific results achieved. This data will allow the team to verify achievements. There is only partial data for 2014. However, the team expects to be able to gather this data through discussions with IAPRI. It is hoped that IAPRI is able to complete the progress matrix for 2014 during the course of the review and thus provide additional valuable data to the review.

Meanwhile, the team does not have detailed data on who have attended outreach and capacity building activities. Nor does the team currently have all the documentation on internal activities (minutes management meetings, minutes of board documents, post-training evaluations, etc.) for assessing efficiency. It is hoped that this types of data exists at IAPRI and can be shared with the team.

5. Proposed Methodology

The team expects to be able to gather both quantitative and qualitative data. Quantitative data is likely to include i.a. the number of different types of outputs and the extent that the quantitative targets set out in the results framework has been reached. The qualitative data will be collected from reports, documents, interviews and observation. The team anticipates that a significant part of the data gathered will be qualitative. Triangulation will constitute an important means of verifying data.

5.1 SAMPLING

The team will aim to meet with as many stakeholders as possible. Priority will be given to those considered of greater importance (see table 1).

Research outputs will also be sampled purposively. The team will aim to review a mix of different types of research products; research products from different years; research products from different authors; research products covering different themes; agricultural areas. The team intends to undertake a cursory review of around 15-20 research products; and a more in-depth review of 5-7 products.

5.2 DESK STUDIES

The team will undertake desk studies of documentation from IAPRI (planning and management documents, audits, annual reports, etc), IAPRI's research products, IAPRI's website and other relevant reports.

5.3 INTERVIEWS AND FOCUSED CONVERSATIONS

The team aims to conducted interviews and focus groups using focussed conversation techniques (drawing on the Technology of Participation or ToP methodology) with IAPRI staff,

board members and stakeholders. Interview protocols will guide the discussions. Depending on the type of stakeholder, questions will be structured to draw out IAPRI's strengths and attention points; as well as opportunities and threats in its external environment.

6. Performance Measures for the Review

In line with the ToR, the team has set the project performance standards below that relate to utility; relevance; objectivity, impartiality and accuracy; and ethics.

Utility and relevance

Evaluations and reviews are valuable to the extent to which they serve the information and decision-making needs of intended users, including answering the evaluation questions posed by the commissioner.

Objectivity, impartiality and accuracy

The review team is responsible for ensuring that independence of judgment is maintained. Where external pressures may endanger the completion or integrity of the review, the issue will be referred to the evaluation manager.

The team will ensure impartiality by giving a comprehensive and balanced presentation of strengths and weaknesses of IAPRI, taking due account of the views of a diverse cross-section of stakeholders. The team will operate in an impartial and unbiased manner at all stages and collect diverse perspectives. The review will be based on reliable data (to the extent this is available) and observations. The review report will provide a clear, concise and balanced presentation of the evidence, findings, issues, lessons learnt conclusions and recommendations.

One review member is employed by the Ministry of Agriculture and Livestock. As such, this team member brings important local practical and technical knowledge that is invaluable to the team, but could also be considered an indirect stakeholder of the evaluation. There is however, no conflict of interest. Through internal processes of assessing data and open and frank intra-team dialogue, the team will ensure balance and impartiality.

Ethical standards

The review team will respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality. It will ensure that sensitive information cannot be traced to its source so that the relevant individuals are protected from reprisals. The team will respect dignity and diversity and be mindful of this throughout the review process and apply evaluation instruments appropriate to the cultural setting. It will keep disruption to a minimum while needed information is obtained, provide the maximum notice to individuals or institutions they wish to engage in the evaluation; optimise demands on their time, and respect people's right to privacy.

The review team will select participants fairly in relation to the aims of the evaluation. Care will be taken to ensure that relatively powerless, ‘hidden’, or otherwise excluded groups are represented. The review team have no conflict of interest with IAPRI. No one has worked for or been directly engaged with IAPRI.



Mid-Term Review of the Indaba Agricultural Policy Research Institute (IAPRI)

In 2013, IAPRI signed a five-year funding agreement with the Embassy of Sweden in Zambia amounting to 48 MSEK. This report, which has been commissioned by the Swedish Embassy in Lusaka, presents the Mid-term Review of the Indaba Agricultural Policy Research Institute in Zambia. IAPRI has made impressive progress in the short span of its existence. It has produced a sizable amount of quality research that stakeholders have found both reliable and useful, been strategic in its capacity development and contributed to improving the agricultural policy environment. Their work is relevant and offers good value for money.

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