



CGIAR Research Program 2020 Reviews: Policies, Institutions, and Markets (PIM)

Authors: Paul G. H. Engel and Fatima Laanouni

This evaluation has been commissioned by the CGIAR Advisory Services Shared Secretariat (CAS Secretariat) Evaluation Function (CAS/Evaluation). CAS/Evaluation encourages fair use of this material provided proper citation is made.

Correct citation: CAS Secretariat (CGIAR Advisory Services Shared Secretariat). (2020). CGIAR Research Program 2020 Reviews: Policies, Institutions, and Markets. Rome: CAS Secretariat Evaluation Function.
<https://cas.cgiar.org/>

Cover image: Fruit on sale at the market, Indonesia. Credit: Bioversity/F. De La Cruz

Design and layout: Luca Pierotti and Macaroni Bros

CGIAR Research Program 2020 Reviews: Policies, Institutions, and Markets (PIM)

Authors: Paul G. H. Engel and Fatima Laanouni

26 October 2020

Acknowledgments

This review was prepared by Paul G. H. Engel, subject matter expert, and Fatima Laanouni, Senior Evaluator. The team worked under the overall direction of Allison Grove Smith, Director, CGIAR Advisory Services Shared Secretariat (CAS Secretariat). These reviews are being led by the CAS Secretariat Senior Evaluation Manager Svetlana Negroustoueva. Angela Giménez Barrera provided evaluation and coordination support for the review process. Paolo Sarfatti served as senior adviser to the Evaluative Reviews Project in 2020. Gaia Gullotta, and Max Runzel provided analytical support.

The evaluation team gratefully acknowledges insightful comments by Laurian Unnevehr, external reviewer, and the assistance and cooperation of the Policies, Institutions, and Markets (PIM) Program Management Unit and PIM staff. Special thanks go to Frank Place, Director, and Pascale Sabbagh, Program Head, who provided much additional information and insight.

CAS Disclaimer

By design, the CGIAR Results Dashboard was a key source of data for the 2020 CRP Reviews. During the pilot phase of the CRP Reviews, issues with interoperability and resulting data quality between the management information systems (CLARISA and the Dashboard) and extracts from CRP systems (MARLO and MEL) were discovered. For harmonization, CAS engaged with the MARLO team and the CRP MEL focal points to conduct data cleaning and pre-analysis for CRP review teams. This exercise revealed the limitations of CGIAR's reporting/repository systems for evaluation purposes; these limitations were mostly due to changing reporting requirements and discrepancies in whether CRPs adopted MARLO or MEL systems. Moreover, in the case of peer-reviewed journal articles, the protocol used by the CRP review teams to identify relevant publications differed from the guidance applied by CRPs (the CRP review teams' bibliometric analysis used only publications indexed by International Scientific Indexing [ISI], available through Web of Science). Therefore, CAS acknowledges discrepancies between the CGIAR Results Dashboard, and the data provided to the Review teams for their analysis, which should not be seen as a factor having influenced the analysis by the CRP review teams.

Contents

Executive Summary	1
Background and Context	1
Purpose and Approach of the Review	1
Important Findings and Conclusions.....	1
Quality of Science.....	1
Achievement and Importance of Planned Outcomes	2
Management and Governance	2
Cross-Cutting Issues.....	2
Assessment of the Theory of Change	2
Future Orientation	3
Recommendations for PIM Plan of Work and Budget 2021	3
CGIAR System-Level Recommendations	3
1 Background, Purpose, and Approach	4
1.1 Purpose and Audience of the Review	4
1.2 The CRP on Policies, Institutions, and Markets (PIM) and Its Context.....	4
1.3 Scope of the Review	6
1.4 Review Questions.....	6
1.5 Approach and Methodology	6
1.6 Quality Assurance	7
1.7 Organization of the Review Team	7
1.8 Limitations	7
2 Findings and Conclusions	8
2.1 Quality of Science	8
2.1.1 The Quality of Research Inputs.....	8
2.1.2 The Quality of Research Process and Management	10
2.1.3 Quality of Research Outputs.....	11
2.1.4 Conclusions on Quality of Science	12
2.2 Effectiveness	14
2.2.1 Achievement of Planned Outputs and Outcomes	14
2.2.2 Demonstrated Importance of Outcomes (Deep Dive into Selected OICRs).....	18
2.2.3 CRP Management and Governance.....	22
2.2.4 Program Planning and Reporting.....	23
2.2.5 Partnerships.....	23
2.2.6 Progress Along the ToC (CRP and FPs)	24
2.3 Cross-cutting Issues	25
2.3.1 Capacity Development.....	25
2.3.2 Gender, Including the Collaborative Platform for Gender Research	25
2.3.3 Youth	26
2.3.4 Climate Change	26
2.3.5 Conclusions Regarding Cross-cutting Issues	26
2.4 Future Orientation.....	27
2.4.1 Potential Future Contributions at the CGIAR sub-IDO Level	27
2.4.2 Lessons for the Future on PIM's Management and Governance	27

2.4.3 Conclusions on Future Orientation	27
3 Recommendations	29
3.1 Recommendations for PIM.....	29
3.2 CGIAR System-Level Recommendations.....	30

Annexes are available here:

[**bit.ly/PIM-CRP2020-Annex**](https://bit.ly/PIM-CRP2020-Annex)

A 2-page brief is available here:

[**bit.ly/PIM-CRP2020-Brief**](https://bit.ly/PIM-CRP2020-Brief)

Tables

Table 1. PIM CRP Flagship Programs	6
Table 2. Total FTEs mapped to PIM by flagship program and main source of funding, 2019	8
Table 3. PIM research outputs by category, 2017–19	11
Table 4. Policies - Breakdown by flagship.....	14
Table 5. Innovations - Breakdown by Flagship	15

Figures

Figure 1. Policy, Institutions, and Markets CRP overall theory of change	5
Figure 2. PIM Author collaboration extends to over 60 countries worldwide	9
Figure 3. Breakdown partnership PIM: by type of partner	24

Abbreviations

A4NH	Agriculture for Nutrition and Health
AR	Annual report
AR4D	Agricultural Research for Development
ASTI	Agricultural Science and Technology Indicators
ATA	Ethiopian Agricultural Transformation Agency
BMGF	Bill & Melinda Gates Foundation
CAS	CGIAR Advisory Services
CCAFS	Climate Change, Agriculture and Food Security
CIAT	International Center for Tropical Agriculture
CIFOR	Center for International Forestry Research
CIP	International Potato Center
CIMMYT	International Maize and Wheat Improvement Center
COVID-19	Disease caused by novel coronavirus SARS-CoV-2
CRP	CGIAR Research Program
DFID	Department for International Development; replaced by the Foreign, Commonwealth and Development Office
DSM	Direct Seed Marketing program, Ethiopia
EIB	Excellence in Breeding Platform
ESSP	Ethiopia Strategy Support Program
FP	Flagship Program
FAO	Food and Agriculture Organization of the United Nations
FGD	Focus group discussion
FTE	Full-time equivalent
FTA	Forests, Trees and Agroforestry
GLDC	Grain Legumes and Dryland Cereals
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	International Centre for Research in Agroforestry
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IDO	Intermediate Development Outcome
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IGAD	Intergovernmental Authority on Development
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IRB	Institutional Review Board
IRRI	International Rice Research Institute
ISC	Independent Steering Committee
ISPC	Independent Science and Partnership Council
ISDC	Independent Science for Development Council
ISSD	Integrated Seed Sector Development program, Ethiopia
IP	Impact Pathway
IPV	Intimate partner violence
IWMI	International Water Management Institute
KIT	Royal Tropical Institute
MC	Management Committee
MARLO	Managing Agricultural Research for Learning and Outcomes
MSU	Michigan State University
NEDA	Philippines National Economic and Development Authority
NGO	Nongovernmental organization
OICR	Outcome Impact Case Report
PIM	Policies, Institutions, and Markets CRP
PMU	Program Management Unit
POWB	Plan of work and budget
PSSP	Pakistan Strategy Support Program
QoR4D	Quality of research for development
QoS	Quality of science

RIAPA	Rural investment and policy analysis
RTB	Roots, Tubers and Bananas
SAM	Social accounting matrix
SLO	System-Level Outcome
SMO	System Management Office
SPEED	Statistics on Public Expenditures for Economic Development
SRF	CGIAR Strategy and Results Framework
ToC	Theory of change
ToR	Terms of reference
USAID	United States Agency for International Development
W1	Window 1 funding
W2	Window 2 funding
W3	Window 3 funding
WEAI	Women's Empowerment in Agriculture Index
WLE	Water, Land and Ecosystems
WUR	Wageningen University and Research Center

Executive Summary

Background and Context

Policies, Institutions, and Markets (PIM) is one of four cross-cutting Global Integrating Programs within the CGIAR portfolio. PIM focuses its research and policy engagement on addressing the policy, institutional, and market constraints to sustainable and equitable economic development and rural transformation. PIM uses four main channels to address these constraints: global agenda setting, national policy support, program and market innovations, and capacity development. PIM projects are implemented in Africa South of the Sahara, South Asia, and selected countries in the Middle East and North Africa, East Asia, Southeast Asia, and Latin America. Led by the International Food Policy Research Institute (IFPRI), PIM brings together all CGIAR Centers and national, regional, and international partners. External managing partners include Royal Tropical Institute (KIT), Michigan State University, University of Oxford, Wageningen University, and World Vision International. The PIM budget for 2019 is estimated at US\$56 million.¹

Research activities are carried out through six flagship programs (FPs): FP1 – Technological Innovation and Sustainable Intensification; FP2 – Economywide Factors Affecting Agricultural Growth and Rural Transformation; FP3 – Inclusive and Efficient Value Chains; FP4 – Social Protection for Agriculture and Resilience; FP5 – Governance of Natural Resources; and FP6 – Cross-cutting Gender Research and Coordination.

Purpose and Approach of the Review

The CGIAR CAS Secretariat is conducting independent reviews of the 12 CGIAR Research Programs (CRPs), including PIM. The reviews will provide information on quality of science and effectiveness of each CRP. It covers part of Phase II, from 2017 to 2019, with a view to identifying lessons for future research modalities. The review questions are as follows:

1. To what extent does PIM deliver quality of science, based on its work from 2017 through 2019?
2. What outputs and outcomes have been achieved, and what is the importance of those identified results?
3. To what extent is the CRP positioned to be effective in the future, seen from the perspectives of scientists and of the end users of agricultural research?

Data and information sources include PIM program documents and databases; 23 interviews with PIM leaders, donors, staff, and partners, plus 11 additional persons reached through 3 group interviews; files on staffing and financial resources; and annual reporting data related to the CGIAR common results reporting indicators (CRRIs), including Outcome Impact Case Reports (OICRs), and bibliometric and Altmetric studies of peer-reviewed journal articles. Seven OICRs were selected for 'deep dives', two each in Pakistan, the Philippines, and Ethiopia, and a global one on reducing violence against women. Details on data sources are provided in the report and annexes. Annex 2 provides further detail on the review methodology.

Important Findings and Conclusions

Quality of Science

The PIM program has a strong footprint in scientific literature. PIM authors published 395 articles in peer-reviewed journals during 2017–19, highly relevant to PIM's focus on policies, institutions, and markets. Most top 25 h-indexed authors of PIM-related articles are PIM scientists within CGIAR and produce between two and five articles yearly. Author collaboration reaches across 60 countries. PIM policies and innovations represent a large variety of public goods. PIM's next users are government ministries and agencies, nongovernmental and private sector organizations, and multilateral agencies. Engaging them in partnerships is standard practice at PIM. As a result, PIM policy studies, analytics, recommendations, and innovations enable decision-makers from international agencies, governments, nongovernmental

¹ According to PIM financial documentation, PIM expenditures amounted to US\$61.6 million in 2018 and US\$61.2 million in 2017.

organizations (NGOs), and the private sector to strengthen their ability and analytical capacity for foresight, policy analysis, and planning for impact. PIM research teams are diverse in terms of social science disciplines and gender.

Achievement and Importance of Planned Outcomes

Good progress has been made against three common outcomes of the flagships: (1) PIM has developed the research capacity of its institutional partners and the capacity of poor and vulnerable groups. Communities of practice have been strengthened in the areas of foresight, value chains, natural resources tenure, and governance, and gender; (2) PIM has contributed to a more gender-equitable control of assets and resources (main contributions from FP6, FP4, FP5, FP3, and FP2); (3) PIM has informed policymaking at the global, national, and subnational level, and to a lesser extent at the regional level. PIM plays a significant role in the delivery of systemwide public goods; however, capturing the full extent of its support to policy change is challenging (especially at the country level) owing to attribution and contribution issues, "the most difficult attribution challenge lying in unraveling the contributions of research outputs versus other, non-research based influences in the creation of a policy outcome."²

Deep dives in six cases confirmed that PIM outcomes and impact emerge from long-term partnerships between PIM and its next users—international agencies, national governments, NGOs, and private sector organizations—in the form of changed policies and regulations and institutional innovations. Efforts are ongoing to inform policymakers on the effects of their policies on smallholders. The cases illustrate the complex and systemic character of PIM's engagement with next users and implementation partners and demonstrate how PIM faces challenges in the institutional dialogue with regard to rural transformation. The cases also show that the collaborative processes take time and build on the social capital developed by long-term partnerships.

Management and Governance

During the period reviewed, PIM management did well by streamlining objectives, milestones, and outcomes; creating an open atmosphere between researchers; enabling researchers from diverse centers and disciplines to engage; and encouraging them to seek new allies and allies to strengthen the program's performance. PIM management encouraged cross-center learning through linking up with social scientists throughout CGIAR and strengthening systemwide communities of practice. Also, PIM successfully leveraged W1/W2 funding to ensure its strategic course along the theory of change and impact pathways and to deal with lack of funding predictability. Additional strength was brought to the program by managing partners, by collaboration with CGIAR and other research centers, and by strong partnerships and country programs. CRP AR and OICR templates and common results indicators were found not conducive to providing a complete picture of the results achieved, and hence synergies across FP portfolios and between OICRs cannot be traced.

Cross-Cutting Issues

Most FPs contributed to capacity development and more gender-equitable control of assets outcomes. During the period covered by the review, youth issues were not a significant area of research but have gained traction since 2019. Finally, PIM has produced climate change research using foresight analysis to contribute to shape global, regional, and national policies. This achievement should be gauged in a context where future regular foresight analysis could contribute to priority setting in a coordinated manner both within CGIAR and with country partners.

Assessment of the Theory of Change

PIM management operationalized the theory of change (ToC) and flagship program impact pathways (IPs) through milestones, outcomes, and objectives, defining a de facto theory-in-use. It shows good progress in terms of engaging decision-makers at the global, regional, and national levels to support policy and institutional change toward inclusive rural transformation; priorities for public spending; improved public service delivery; and capacity development. Its use for internal learning and reprogramming was limited.

² Independent Science and Partnership Council (ISPC). (2018). *A reflection on impact and influence of CGIAR policy-oriented research*. Rome: Standing Panel on Impact Assessment, ISPC.

Future Orientation

PIM has made significant progress toward achieving its objectives. Its scientific work and stakeholder partnerships and networking efforts are robust and effective. Improvements that may contribute to PIM's fulfilling its full potential are situated in the areas of internal monitoring, knowledge management, and learning. PIM should invest more in researching its own approaches and learn from its experiences, focusing on how effective partnerships and networks are built and maintained and how this has affected the planning, organizing, dialogue, and outcomes of its policy influence, institutional innovation, and capacity-strengthening efforts. Besides, a thorough reflection on the balance between scientific and public outreach seems indicated. Strengthening the capacity of the communication teams that support PIM researchers to reach out to audiences beyond the scientific community seems overdue.

Recommendations for PIM Plan of Work and Budget 2021

Recommendation #1.1 - Continue to integrate and disseminate political economy analysis in, and beyond, the PIM program portfolio.

Recommendation #1.2 - Carry out and disseminate, through outreach and communication activities, a review of PIM's overall impact in selected countries, including the program's contribution to analyzing the COVID-19 crisis.

Recommendation #1.3 - Carry out an independent review to collect lessons from PIM's partnerships within and outside of CGIAR and the extent to which these contributed to achievement of policy changes and other outcomes.

Recommendation #1.4 - Carry out an independent review of PIM's collaboration with other CRPs, examining how joint efforts contributed to PIM's impact pathways.

Recommendation #1.5 – Review the extent to which PIM has enhanced the capacity of researchers and research organizations through its policy outcomes and innovation (*what*) and the key factors that enabled or constrained results (*how*).

Recommendation #1.6 - Carry out a thorough reflection on the balance between scientific and public outreach in relation to PIM's partnership approach to achieving policy change, institutional innovation, and capacity development.

CGIAR System-Level Recommendations

Recommendation #2.1: Maintain the focus on policy and institutional change for sustainable and inclusive agricultural transformation.

Recommendation #2.2: Improve the balance between W1/2 and W3/bilateral funding in favor of longer-term, strategic partnerships that ensure funding of PIM research over longer periods to secure in-country outcomes.

Recommendation #2.3: Intensify and further develop the emerging field of research concerned with stakeholder involvement, policy influence, and promotion of institutional change.

Recommendation #2.4: Align outputs, milestones, and outcomes with desired impacts by using theories of change more effectively.

Recommendation #2.5: Redesign and streamline the programming, monitoring, and reporting systems.

1 Background, Purpose, and Approach

1.1 Purpose and Audience of the Review

The CGIAR Advisory Services Shared Secretariat (CAS Secretariat) conducts independent reviews of the 12 CGIAR Research Programs (CRPs) in 2020. The reviews are to provide information on quality of science and effectiveness in each CRP. The CAS Secretariat has been mandated by the CGIAR System to undertake this work as part of its role in providing independent evaluation and assessments to the CGIAR System. This review of the CRP on Policies, Institutions, and Markets (PIM) is part of this set of CRP reviews. The primary purpose of this review is to assess the extent to which the PIM research program is delivering quality of science and demonstrating effectiveness in relation to its theory of change. Within that primary purpose, the objectives of this independent review are as follows:

1. To fulfill CGIAR's obligations around accountability regarding the use of public funds and donor support for international agricultural research
2. To assess the effectiveness and evolution of PIM in its second phase, 2017–19
3. To provide an opportunity to generate insights about PIM's research contexts and program of work, including lessons for future CGIAR research modalities.

The review considers PIM's activities carried out during the 2017–19 period, the three first years of operation of PIM's Phase 2 research program. The primary user of the review will be the CGIAR System Council, with insights and lessons developed from the review for use by the PIM program. Further, the review may provide lessons that inform the transition to One CGIAR in 2022. The findings, conclusions, and recommendations may be of use in refining the CRP's 2021 program of work and budget (POWB) or in drawing lessons to inform future research modalities.

1.2 The CRP on Policies, Institutions, and Markets (PIM) and Its Context

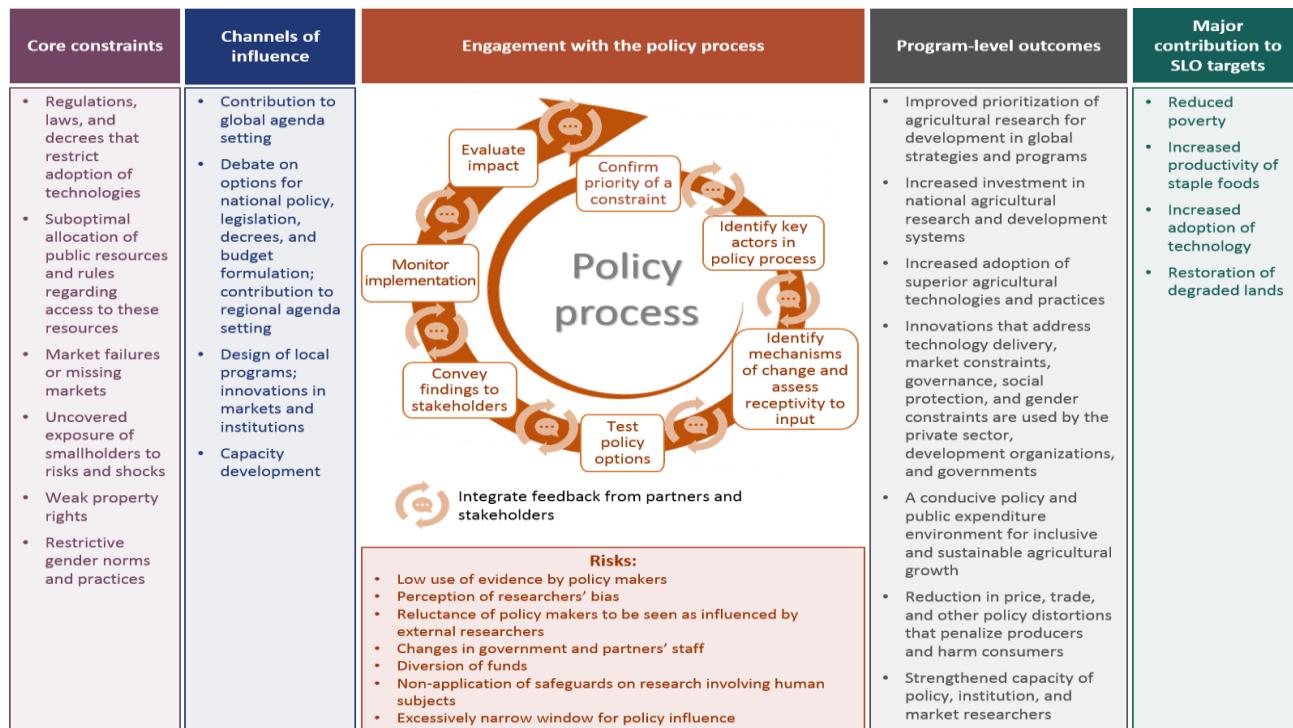
PIM is one of four Global Integrating Programs (ICRPs) within the CGIAR portfolio that address issues cutting across the eight commodity-specific Agri-food System Programs. PIM focuses its research and policy engagement on "addressing the policy, institutional, and market constraints to sustainable and equitable economic development and rural transformation. Such roadblocks include regulations restricting adoption of technologies by smallholder farmers, inefficient allocation of public resources, market failures or missing markets, weak property rights, restrictive gender norms and practices, and exposure of smallholders to shocks and risks. PIM aims to address these constraints through four main channels: global agenda setting, national policy support, program and market innovations, and capacity development."³

PIM projects are implemented in Africa South of the Sahara, South Asia, and selected countries in the Middle East and North Africa, East Asia, Southeast Asia, and Latin America. Led by the International Food Policy Research Institute (IFPRI), PIM brings together all CGIAR Centers and national, regional, and international partners. External managing partners include Royal Tropical Institute (KIT), Michigan State University, University of Oxford, Wageningen University, and World Vision International. The PIM budget for 2019 is estimated at US\$56 million.⁴

PIM designs and implements a diverse package of agricultural research for development (AR4D) projects that aim to contribute to policy, institutional, and market reform in line with global development objectives. To do so, PIM aims to develop technological, institutional, policy, and capacity solutions in support of global institutions, national or subnational governments, and nongovernmental and private sector organizations in order to allow these to address the main restrictions on agricultural productivity of smallholders (men, women, and youth), sustainable management of natural resources, and inclusive transformation of rural economies in developing countries.

³ IFPRI. (2020). PIM Achievements in 2019: Highlights. <https://pim.cgiar.org/2020/07/08/pim-achievement-in-2019-highlights/>

⁴ According to PIM financial documentation, PIM expenditures amounted to US\$61.6 million in 2018 and US\$61.2 million in 2017.

Figure 1. Policy, Institutions, and Markets CRP overall theory of change

PIM has developed an overall theory of change (ToC) contributing to all three of the CGIAR's System-Level Outcomes (Figure 1): reduced poverty, improved food and nutrition security, and improved natural resources and ecosystem services. With regard to PIM's policy engagement, a number of risks were identified that are well known for their potential to complicate successful collaboration with policymakers and decision-makers. PIM's engagement with policy processes may take place in different phases. It may occur early on, to assess the priority of a particular constraint in a specific context, to help identify key stakeholders, and/or to identify change mechanisms and assess receptivity to input. It may also occur later in the process, to test various policy options, to convey findings to stakeholders, to monitor implementation, and/or to evaluate impact.

PIM has formulated six FPs with six impact pathways including outputs and outcomes. These pathways aim to contribute to PIM's overall theory of change, CGIAR-level Intermediate Development Outcomes (IDOs and sub-IDOs), and CGIAR System-Level Outcomes (SLOs) (see Table 1). PIM also developed a set of 21 '2022 outcomes' to provide a multiannual results framework against which yearly milestones as well as sub-IDOs are mapped. The review team considers this multiannual results framework PIM's de facto theory-in-use and hence will use the 2022 outcomes and annual milestones to assess the contribution of FPs toward that framework.

Table 1. PIM CRP Flagship Programs

FP1 (Technological Innovation and Sustainable Intensification) addresses foresight modeling and the policy underpinnings of innovation in agriculture, including agricultural research and development systems, seed systems and policies, and extension approaches. (2017–19 budget = US\$56 million; 29% of PIM budget)	FP2 (Economywide Factors Affecting Agricultural Growth and Rural Transformation) examines the shift from agriculturally based economies to more diversified ones and focuses on rural income generation, public investment, and the political economy of agricultural and rural policy. (2017–19 budget = US\$64 million; 33% of PIM budget)
FP3 (Inclusive and Efficient Value Chains) examines the policy and enabling environment in which value chains function, interventions to strengthen them and make them inclusive, and measures to facilitate adoption of interventions at scale. (2017–19 budget = US\$35 million; 18% of PIM budget)	FP4 (Social Protection for Agriculture and Resilience) seeks to understand how best to design social protection programs, and how these programs complement programs supporting agricultural growth and rural transformation. (2017–19 budget = US\$16 million; 8% of PIM budget)
FP5 (Governance of Natural Resources) aims to document the sources of tenure insecurity for men, women, and communities with regard to their resources, and the negative consequences of tenure insecurity. It also investigates mechanisms (e.g., policy or institutional reforms) to strengthen tenure and institutions. (2017–19 budget = US\$14 million; 7% of PIM budget)	FP6 (Cross-cutting Gender Research and Coordination) examines gender equity and women's empowerment in relation to development and agricultural performance. From 2017 to 2019 it hosted the Collaborative Platform for Gender Research to increase the visibility, impact, and quality of gender research undertaken across CGIAR and to set a systemwide gender research agenda. (2017–19 budget = US\$9 million; 5% of PIM budget)

Source: PIM Annual Reports 2017–19; see Annex 7 for details.

1.3 Scope of the Review

The CRP 2020 Review focuses on two of the 6 evaluation criteria as defined in the CGIAR evaluation framework: quality of science and effectiveness. Quality of science in CGIAR is defined as the ways by which research is designed, conducted, documented, and managed in terms of the processes, inputs, and outputs. The definition of effectiveness refers to the extent to which objectives have been achieved and outputs are being produced; it aligns with the definition used by the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) and other international bodies. The application of these criteria in the CRP 2020 Review is further elaborated in Annex 2.

1.4 Review Questions⁵

1. To what extent does PIM deliver quality of science, based on its work from 2017 through 2019?
2. What outputs and outcomes have been achieved, and what is the importance of those identified results?
3. To what extent is the CRP positioned to be effective in the future, seen from the perspectives of scientists and of the end users of agricultural research?

1.5 Approach and Methodology

The team has reviewed qualitative and quantitative data from the following sources: (1) CGIAR dashboard data pre-analyzed and pre-summarized by CAS Secretariat, including on publications, outcomes, milestones, innovations, and other metrics⁶ and (2) PIM's governance and management documentation, including operational and financial planning and reporting documentation, and minutes

⁵ CRP 2020 Independent Reviews of Quality of Science and Effectiveness: Terms of Reference and Call for Expressions of Interest; Addendum to the ToR and Call; and CRP 2020 Review Guidelines, August 6, 2020.

⁶ Methods used in the bibliometric analysis follow those laid out in M. Aria & C. Curriculio. (2017). Bibliometrix: An R-tool for comprehensive science mapping analysis. *Journal of Infometrics*, 11(4), 959–975.

<http://dx.doi.org/10.1016/j.joi.2017.08.007>.

from meetings of the Independent Steering Committee (ISC), the Management Committee (MC), and the Gender Platform's Advisory Committee. Findings are triangulated through semi-structured interviews: 23 individual interviews were taken; 11 additional people were reached through three group interviews.⁷ Progress is assessed along the PIM theory of change and theory-in-use, including their cross-cutting dimensions. Additional analysis of the theory-in-use is found in Annex 13. To review the impact pathway in use, the team did four case studies involving seven OICRs.

1.6 Quality Assurance

CAS provided oversight for this review through regular check-ins and collection of quality assurance metrics regarding CRP progress. Preliminary findings as well as a draft report were shared with both CAS and the PIM Program Management Unit (PMU) for feedback and factual corrections.

1.7 Organization of the Review Team

The review team is composed of Paul G. H. Engel, senior subject matter expert and team leader, and Fatima Laanouni, senior evaluation expert with experience in rural development and food security.

1.8 Limitations

The review was executed within a narrow time frame: August 3 to October 26, 2020. It was limited to a desk review of available documents and databases and interviews with key actors. No travel was carried out to visit PIM lead or partner institutions, country support programs' offices, or offices of implementing partners and next users. The bibliographical pre-analysis of dashboard data by CAS was limited to articles in peer-reviewed journals and some book chapters. More in-depth analysis was limited to six out of 56 OICRs. Finally, the relevance of research processes and outputs to the context and to society in line with declared development objectives was not part of this review. Leaving out this key element from the integrated frame of reference proposed by the Independent Science and Partnership Council⁸ poses severe limitations on the assessment of the quality of scientific research and policy incidence for development. As a result, the review cannot be representative of the entire breadth and depth of the PIM CRP and its impact.

⁷ See Annex 4 for the list of people interviewed.

⁸ CGIAR, Independent Science and Partnership Council. (2017). *Quality of research for development in the CGIAR context*. ISPC Brief Number 62. Rome: ISPC.

2 Findings and Conclusions

2.1 Quality of Science

2.1.1 The Quality of Research Inputs

2.1.1.1 Staff Engagement and Disciplinary and Gender Balance Across PIM FPs

During the period under review, 186 staff⁹ devote part of their time to work with PIM. In a typical year, 2019, this meant a total of 127 full-time equivalents (FTEs) were mapped to PIM, of which 119.2 (94%) were fully engaged in research; 7.7 FTEs (6%) were mapped to program and flagship management and cross-cutting activities¹⁰. On average, PIM key staff dedicate 70% of their time to the program, and together they implement 42 research projects¹¹. FP1, FP2, and FP3 represent PIM's main body of research: 80% of key staff FTEs are mapped to these and only 14% to FP4, FP5, and FP6 (see Table 2).

Table 2. Total FTEs mapped to PIM by flagship program and main source of funding, 2019

PIM		W1/W2		W3/Bilateral		
FP	FTEs	% of PIM total	FTEs	% FP total	FTEs	% of FP total
1	25.39	20%	7.5	29%	17.9	71%
2	49.96	39%	9.1	18%	40.8	82%
3	25.96	20%	7.1	27%	18.8	73%
4	10.49	8%	4.7	45%	5.8	55%
5	2.50	2%	2.0	81%	0.5	19%
6	4.93	4%	2.6	52%	2.4	48%
Management	7.74	6%	6.7	87%	1.0	13%
Total or average	127	100%	40	31%	87	69%

Source: IFPRI Staff Mapped to PIM_v2.xlsx

The large majority of PIM staff consists of a wide range of economists, from macro to micro, with specializations including agriculture, natural resources, environment, development, markets, business, and value chains. Other social scientists represent 20–30% of all flagship teams. In relation to PIM's focus on public policy and institutional innovation, the number of specialists in political economy, political science, and public affairs is limited (5%, who are mostly based at IFPRI).

The gender balance varies across PIM FPs. Overall, women represent 40% of the staff, ranging from close to 20% in FP2 and FP3 to 87% in FP6.¹² In FP1, FP4, and FP5 the proportion of women is 30–40%. In FP6, Cross-cutting Gender Research and Coordination, few men have been integrated despite team efforts to do so. Improving the gender balance certainly needs to remain a priority for PIM.

⁹ The file 'PIM Staff list' lists 186 PIM staff, including five PMU members.

¹⁰ From file: 'IFPRI Staff Mapped to PIM_v2.xlsx.'

¹¹ As PIM, we take a research project to represent "a body of research to which corresponds a set of deliverables and funded through a collection of funding sources" (PMU, pers.comm.)

¹² Figures calculated from 'PIM Staff list'; figures vary slightly between different databases.

2.1.1.2 Level and Predictability of Funding

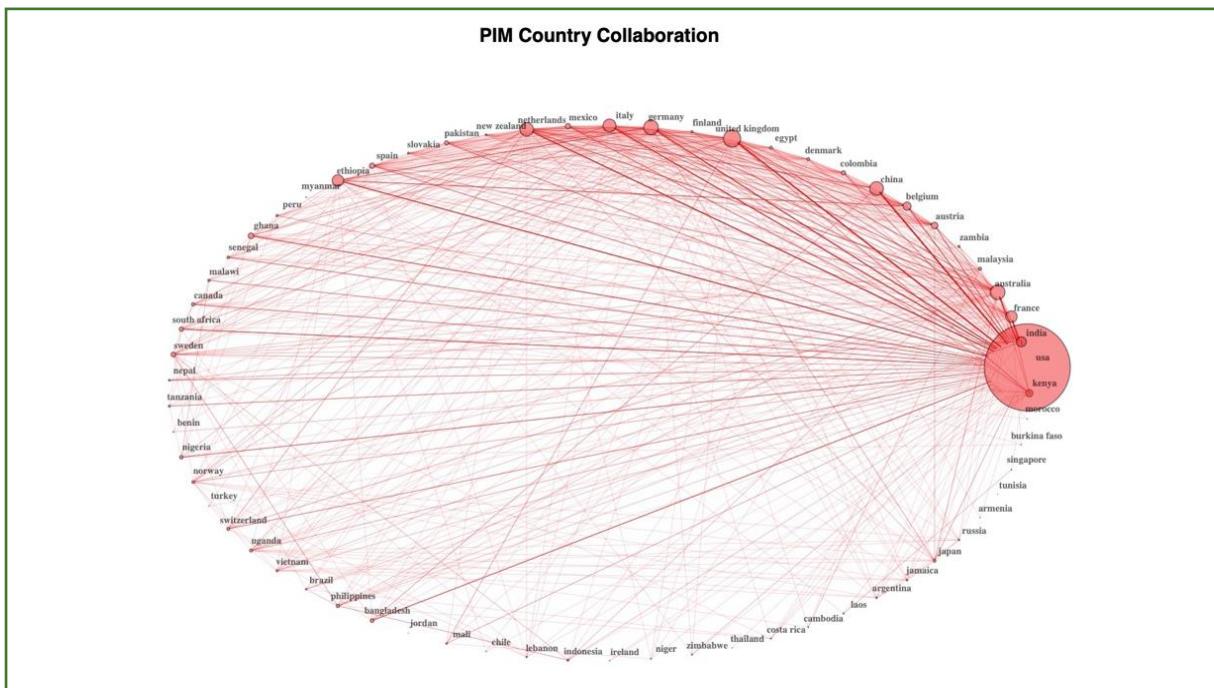
Of all IFPRI Staff FTEs mapped to PIM, 39.7 (31%) were funded through W1/W2, and 87.2 (69%) were funded through W3/bilateral funding. For the three largest FPs—FP1, FP2, and FP3—W3/bilateral funding accounts for up to 70–80% of total staff funding. Key informants confirm that most of the W3/bilateral funding is acquired through IFPRI. In the smaller FPs, PIM W1/W2 financing plays a major role. PIM management is funded through W1/W2, as are some cross-cutting activities (Table 2).

Of PIM's total program budget, during 2017–19 CGIAR W1/W2 funding represented 24%; it is managed by PIM and can be tied to PIM program objectives and ToC (see Annex 7 on PIM finances 2017–19). However, important differences in W1/W2 funding exist between FPs. PIM management has used W1/W2 funding strategically to maintain its course vis-à-vis the theory of change, impact pathways, and program objectives. The PIM budgeting process is led by the Program Management Unit, with a high level of responsibility devolved to the flagship level. However, large variations between FP budgets and expenditures (realizations) each year—both positive and negative—suggest uncertainty in the budgeting process, while a disproportionate amount of management time and energy seems to be spent balancing budgets and expenditures throughout the year. The 14-percentage point drop in expenditures in 2019 adds to the notion of apparent unpredictability of current funding arrangements. One reason is the frequent lack of clarity about donor commitments at the time of budgeting. Only a few donors commit to multi-annual funding for the PIM program as a whole.

2.1.1.3 International Collaboration, Partnership, and Research Integration

PIM casts a wide web of international research collaboration. Overall, some 40% of PIM staff¹³ are from CGIAR Centers other than IFPRI. Differences between FPs exist. FP2 and FP4 are integrated with fewer CGIAR Centers. In other FPs, 40–70% of their staff is affiliated with another CGIAR Center. FP5, on the governance of natural resources, seems to be the most decentralized in its operations. In addition, PIM draws management expertise from three universities (external “managing partners”: Michigan State, Wageningen, Oxford) and maintains partnerships with several hundred research, government, private sector, multilateral, and NGO organizations.¹⁴ Another indication of the wide webcast by PIM over the years is the number of external authors from a wide range of countries in PIM's scientific publications. In fact, the external authors involved in PIM publications published in 2017–19 number about 850, and they are affiliated with institutions in more than 60 countries (Annex 5).

Figure 2. PIM Author collaboration extends to over 60 countries worldwide



¹³ This includes staff working with PIM for at least some proportion of their time.

¹⁴ Not including CGIAR and donor partners.

2.1.2 The Quality of Research Process and Management

Institutional innovation is a strong focus of PIM. Consequently, PIM provides space for expanding research into hitherto uncharted territories and bringing together different disciplinary and institutional perspectives. Key informants describe PIM's added value as providing flexibility to design research that addresses specific constraints stakeholders face; ensuring institutional research components; and opening up possibilities for integrating research across CGIAR centers, disciplines, and stakeholder groups. In the words of one research leader, PIM creates "a welcoming environment where diversity of disciplines is appreciated." In the Foresight work, which is more upstream, conscious efforts are made to ensure basic diversity in teams in order to bring together different disciplinary and institutional perspectives. Nevertheless, one interviewee remarked: "During the PIM annual conference we do feel the dominance of economists."

PIM leadership ensures *relevance to next-stage users* by encouraging research teams to connect and collaborate with next users in their research projects from the very beginning and to produce tangible opportunities for improvement in response to identified constraints. Identifying the right partner or partners to work with is essential and often takes time. Long-term presence in a country, such as through an IFPRI Country Support Program or the longstanding office of another CGIAR center, may help. Through active collaboration with next users and implementation partners over time and ensuring correspondence of the research and its expected outputs—such as analytical tools, datasets, policy evaluations, and institutional innovations—with their needs and priorities, mutually accountable partnerships are strengthened.

To the extent that it is possible to assess this within the framework of this brief review, PIM management does create an enabling work environment for its research teams. PIM is commended for its contribution to opening new areas of collaborative research between CGIAR Centers and for an open, collaborative atmosphere. This allows researchers to bring others into the research and encourages young researchers to give their best. In addition, integration between FPs is reflected in the high proportion (30%) of key PIM staff who are active in two or more FPs. Furthermore, PIM encourages workshops and communities of practice in which researchers exchange views, early results, and research practices to connect and learn from each other. PIM hosts at least one social science conference per year. In the past two years PIM's annual 'extended team meetings' have also included a 'science fair' component, in which researchers share their results and work experiences.

PIM anchors the *scientific credibility* of its research in several ways:

- Applying sound scientific practice, using both quantitative and qualitative research methods, and presenting results in scientific conferences, multi-stakeholder settings, and peer-reviewed journals
- Doing collaborative, interdisciplinary research; ensuring internal transparency and peer review; and initiating and/or taking part in communities of practice
- Widely sharing its findings through publications and, where called for, by providing access to its databases and analytical tools not only to research partners but also to implementation partners and next users
- Robust partnerships with next users and implementation partners.

PIM management actively encourages its researchers to publish blogs, policy briefs, and other outputs geared at audiences beyond the scientific community, such as policymakers, decision-makers, and development professionals. At the same time, institutional incentives set by PIM staff's employers—CGIAR Centers—as well as personal ambitions, often seem to favor articles in high-impact peer-reviewed journals. For a program like PIM, where both scientific and wider communications are key to maintaining scientific credibility, it would be important to find the right balance of incentives so that researchers are able to dedicate enough time to both types of outputs.

PIM ensures the *legitimacy* of its research by requiring all its W1/W2-funded research involving human subjects to obtain clearance from an institutional review board (IRB). CGIAR Centers that do not have their own IRB are requested to have external IRB reviews conducted. Given the often-political implications of research into institutional policy and behavior, awareness, and transparency regarding potential conflicts of interest are considered essential. Program evaluations have been used to make structural issues explicit and subject to dialogue among interested parties. In PIM, conflicts of interest between researchers or research teams seem limited, particularly because mutual accountability between researchers and their partners is strongly developed.

2.1.3 Quality of Research Outputs

2.1.3.1 Research Productivity, Publications, and Capacity Development

The engagement of PIM scientists translates into over 1,400 publications during the three-year period under review, 2017–19 (Table 3). About one-third are *articles in peer-reviewed journals, books, and book chapters*. Another third are intermediary research outputs, such as conference and discussion papers, project notes, fact sheets, and research workshop reports. Research outputs *targeted at next users and implementation partners*, such as databases, analytical tools, data portals, policy briefs, blogs, brochures, and materials supporting capacity development, represent another 20%. Over the past two years, PIM management has encouraged researchers to produce policy-oriented publications. PIM W1/W2 funds are used to support communities of practice of researchers. Capacity development with implementation partners and next users is financed mostly through bilateral projects. PIM's preferred approaches to capacity development are collaborative learning by doing and exchanges of knowledge and experience in communities of practice. Conferences, workshops, and training courses are also used regularly.

The number of scientific articles published during 2017–19 is underrepresented in the MARLO database from which Table 3 is extracted: Annual reports mention a total of 395¹⁵ articles published in peer-reviewed journals. The year 2018 was particularly productive, with 164 articles published. The ISI subset of 329 publications, pre-analyzed and used for this review, represents about 70% of the scientific production of PIM staff and partners over the years 2017–19 and the first quarter of 2020. Over half of these indexed articles were cited at least once per year during this period.¹⁶ Journal impact factors range from 2 to 6. The top 25 PIM authors have been h-ranked,¹⁷ and they published on average 12 articles during 2017–19, achieving h-rankings of 21 to 36. Moreover, almost 40% of PIM papers are published in high-impact journals ranked in the top 10 of their fields (JCR category), confirming the scientific interest they generate and their quality. Almost 90% of the top 25 h-indexed authors of PIM-related articles are PIM scientists within CGIAR and produce between two and five articles yearly.

Table 3. PIM research outputs by category, 2017–19

	Subtotal	%
Public media ^a	95	7%
Scientific publications, including:	470	33%
Journal articles (peer-reviewed)	336	–
Books, special issues, and book chapters	134	–
Intermediate research outputs	500	35%
Data portals, tools, models, and databases ^c	95	7%
Policy briefs ^d	112	8%
Capacity development outputs ^e	83	6%
Strategy and accountability reports ^f	59	4%
Total number of direct research outputs	1,414	100%

^a Non-peer-reviewed articles, blogs, brochures, newsletters, multimedia, and websites.

^b Concept notes, conference and working papers, project notes, fact sheets, research workshops, and other reports.

^c Data portals, analytical tools, models, databases, maps/geospatial data

^d Briefs, notes, briefings, workshop/ dialogue report

^e Guide/handbook, user manual/technical guide, lecture/training materials, needs/capacity assessment, infographics, presentations.

^f Funder report, outcome note, plan/strategy report

¹⁵ Reported in annual reports for PIM 2017, 2018, and 2019.

¹⁶ See Annex 5 for details.

¹⁷ An index of h means that there are h papers that have each been cited at least h times. The h-index is based on the Web of Science Core Collection citations of the publications shown on this author record.

The completion of 95 data portals, analytical tools, models, and databases provides ample evidence of PIM's contributions to research innovation and analytical capacity of national agricultural research and governmental policy institutions. The strengthening of the analytical and modeling capacities of national and international institutions in the field of agricultural development is a strong element of PIM's strategic approach to policy, institutional, and market reform by strengthening agricultural policymaking and investment policies.

2.1.3.2 Effective Communication with Policy and Institutional Leadership and Their Networks

PIM and its partners draw attention to their scientific articles far beyond the academic community. Top 25 articles by PIM-related authors generate Altmetric scores (AS) between 74 and 2,357 (see Annex 5, Table 1). However, variation exists between the top 10 authors, who score 766 on average, and numbers 91–100, who score 20 on average. These differences are apparent in news, blog, and Twitter uptake. The interpretation of these metrics is challenging, as this is a relatively new, emerging action research field and the meaning of the metrics is not well established. What we do know is that pressures for policy and institutional change may be both internal (from within government or agency circles) and external (from policy networks and the general public). Hence, both direct and indirect communication with policymakers and institutional leadership is key¹⁸ to the success of PIM.

Table 3 shows high PIM productivity in terms of both scientific publications and intermediate research outputs, which allow for exchanging, discussing, and learning from research findings primarily within the scientific community. In contrast, the public media outreach, including policy briefs, appears to be limited, both from the numbers of publications counted and from the Altmetric scores. Given the importance of communicating with next users, implementation partners, and their networks, this apparent limitation of PIM public outreach points to an imbalance.

2.1.3.3 International Collaboration and Partnerships

PIM's next users are multilateral and bilateral agencies, international financial institutions, government ministries and agencies, nongovernmental and private sector organizations that design and/or implement agricultural policies, and development programs at a global, regional, national, and/or subnational scale. Engaging in partnerships with next users is PIM's standard practice. PIM's approach to building partnerships is pragmatic, using existing networks built over years of collaboration to involve next users and other important stakeholders in relevant research, policy, and/or implementation processes. To a large degree, partnerships are demand driven, whereby multilateral agencies, governments, NGOs, funders, and others approach researchers to help test the effectiveness of policies or innovations or assist with priority setting.

Often the partners of first entry are research organizations and/or NGOs that the CGIAR Centers participating in PIM have worked with before. Key informants note that on-the-job-training—that is, close collaboration with external partners on specific research projects or activities—is the preferred mode for partner capacity development. Specific training events such as courses or workshops are also organized. Long-term engagement in a country is needed to build up the relationships and trust to be able to engage effectively. In many countries, IFPRI Country Support Programs are able to provide support. As a result, PIM partnerships seem robust, are based on mutual trust, and cover a wide range of countries.

The strength of PIM's policy influence cannot be grasped from Altmetric scores alone; OICRs and country stories show positive engagement and provide indications of successful long-term collaboration with national implementation partners and government authorities (policymakers and institutions) that are not captured by these scores. Also, success is not always traceable directly to PIM, as the CGIAR Centers play a prominent role in engaging with next users; however, OICRs provide ample evidence of PIM contributions (see section 2.2.2).

2.1.4 Conclusions on Quality of Science

About 180 research staff contribute to PIM on a regular basis. On average, they map 70% of their time to PIM, representing a strong core of dedicated expertise. Roughly 31% of their FTEs are funded through W1/W2, pointing at the critical role this funding plays in retaining core staff, supporting PIM's research

¹⁸ See also F. Place & P. Hazell. (2019, February 4). *Lessons from IFPRI country programs on influencing policy decisions and strengthening capacity* (blog). <https://pim.cgiar.org/2019/02/04/lessons-from-ifpri-country-programs-on-influencing-policy-decisions-and-strengthening-capacity/>

integration efforts, and creating space for new initiatives. W1/W2 funding has been particularly important in supporting FP5, a strongly integrated program exploring solutions to core constraints in the critical area of land tenure and governance of natural resources.

PIM staff represent a variety of social science disciplines, but a clear majority are economists. The integration of other social sciences has improved over the years, with social scientists other than economists representing 20–30% of all flagship teams. The participation of political economy and public policy specialists continues to be limited. External management partners have brought in relevant expertise and helped PIM expand its institutional focus and cooperation with the private sector.

PIM researchers are highly productive and produce high-quality research relevant to PIM's focus on policies, institutions, and markets.¹⁹ PIM authors published 395 articles in peer-reviewed journals during 2017–19. Almost 40% of indexed papers are published in high-impact journals ranked in the top 10 in their fields (JCR category), confirming the scientific interest they generate and as well as their quality. Most top 25 h-indexed authors of PIM-related articles are PIM key staff and produce between two and five articles yearly. PIM author collaboration reaches across 60 countries worldwide.

PIM policies and innovations represent a large variety of public goods. Policy studies, analytics, and ensuing policy recommendations or strategic suggestions are directed toward decision-makers from international agencies, governments, NGOs, and private sector actors. Innovations enable research and government institutions to strengthen their data and analytical capacity for foresight, policy analysis, and planning for impact. Where possible, each of these research outputs is made publicly available or, accessible.

Besides scientific publications, PIM reaches out to implementation partners and next users by producing public media outputs, policy briefs, data portals, analytical tools, and databases. PIM has stimulated public policy outreach through briefs, newsletters, blogs, and social media. However, the extent to which PIM, and IFPRI as lead center, can support outreach efforts appears limited due to a lack of communication resources- related capacities could be augmented.

PIM's next users are government ministries and agencies, nongovernmental and private sector organizations, and multilateral agencies. Engaging them in partnerships is standard practice at PIM. This engagement requires committing to long-term involvement, identifying the right partners, building mutual trust, contributing relevant policy and institutional analysis, exercising both flexibility and continuity to achieve a gradual build-up of social capital in the countries where PIM works and a keen eye for the political economy of policy and institutional change. Building on IFPRI Country Programs and the work of other Centers with long-term in-country presence, PIM has been successful in many countries (see Chapter 2). On the other hand, operational research, evaluation, and critical reflection on how to build and maintain effective partnerships and networks for policy and institutional change, strongly present during phase I²⁰, seems to have lost some of its momentum during phase II. For an integrated program aiming at influencing policy, institution, and market change, cutting back on self-study and self-reflection on the effectiveness of its partnerships may affect its process orientation and carries the risk of being too set in its ways and lacking innovation in its partnership approach.

The PIM management (PMU, PMC, FP leaders) spends a disproportionate amount of time allocating and reallocating Window 1/2 funds during the year, mostly because at the time of budgeting, funding commitments from many donors are not known with certainty. These budget uncertainties, in addition to one-year allocations, make it difficult for researchers to maintain partnerships and to achieve continuity in their work along the impact pathway; this is a particularly painful development where it concerns an integrated program involved in policy, institutional, and market reforms, which are all long term in nature and always subject to political and institutional winds of change.

¹⁹ For a more detailed review of 10 prominent PIM articles, see Annex 5A.

²⁰ See, for example, D. Resnick, S. Chandra Babu, S. Haggblade, D.L. Mather and S.L. Hendriks (2015). Conceptualizing drivers of policy change in agriculture, nutrition, and food security. The Kaleidoscope Model. IFPRI Discussion Paper 01414, January 2015. See also J. K. Lyman. (2016). *Balancing international public goods and accountability: Exploring the impact of IFPRI's policy research on science, technology, and innovation*. Independent Impact Assessment Report no 43. Washington, DC: IFPRI and PIM; F. Place & P. Hazell. (2015). *Workshop on best practice methods for assessing the impact of policy-oriented research: Summary and recommendations for the CGIAR*. Independent Impact Assessment Report no. 41. Washington, DC: IFPRI, PIM, and ISPC; F. Place & P. Hazell, *Lessons from IFPRI country programs on influencing policy decisions and strengthening capacity*, refers to research during phase I.

2.2 Effectiveness

2.2.1 Achievement of Planned Outputs and Outcomes

2.2.1.1 Progress Toward SLOs

The annual reports present the evidence of PIM progress toward the achievement of four targets across three System-Level Outcomes: reduced poverty (SLO1), improved food and nutrition security for health (SLO2), and improved natural resources and ecosystems services (SLO3). This reporting documentation does not show to what extent PIM will contribute to the targets set for the three SLOs (Annex 8).

2.2.1.2 Overview of Policies and Innovations

"A successful mode of operation is one in which CRP teams have become effectively embedded within the local policy ecosystem and have built up relationships of trust and credibility with key policymakers."²¹

Policies (sphere of influence): According to PIM publications and reports, the program informed 65 food and agricultural policies (approximately 20 policies a year) (Table 4). Flagship programs (with the highest level of contributions from FP1 and FP2) have partnered with governments to support an enabling agricultural policy environment in more than 25 countries, mainly located in East Africa and East Asia. More than 50% of the policies reported in PIM's annual reports are enacted and/or implemented; they address agricultural devolution reforms (Ghana, Pakistan), seed policies (Afghanistan, Uganda), agricultural advisory and extension services (Ethiopia, Guatemala, Nepal), biosafety regulations (Nigeria, Uganda), and climate change mitigation and adaptation issues (the Philippines), among others. PIM's contribution to national policy debates significantly relied on the collection and analysis of data and/or foresight and economywide models enabling multisectoral or multiyear analyses.

Table 4. Policies - Breakdown by flagship

Breakdown	FP1	FP2	FP3	FP4	FP5	FP6	Total
# policies	10	21	5	10	9	10	65
%	15%	32%	8%	15%	14%	15%	100%
Level 2							
# policies	5	14	3	4	1	7	34
%	15%	41%	9%	12%	3%	21%	100%

Level 1: Research taken up by next user (decision maker or intermediary)

Level 2: Policy/Law etc. Enacted

Level 3: Evidence of impact on people and/or natural environment of the changed policy or investment =

PIM contributed to growing a community of foresight modelers and used foresight to inform policy decision-making at the global, regional, and national levels:²² in Cambodia for example, PIM, CCAFS, and UN agencies helped introduce a climate change component in the 2014–18 National Agricultural Policy; in Colombia, a partnership with CCAFS and the Universidad de Los Andes produced ex-ante analyses of viable emissions reduction commitments to contribute to the development of the country's nationally determined contribution. PIM has also developed and disseminated databases, tools, and indicators to inform governments' spending, programming, and institutional reforms. Its well-known database on

²¹ P. Hazell, F. Place, & E. Tollens. (2018). *Taking stock of IFPRI's experience with country programs*. Independent Impact Assessment no. 45. Washington, DC: IFPRI.

²² S. K. Lowder & A. Regmi. (2019). *Assessment of outcomes based on the use of PIM supported foresight modeling work 2012–2018*. IFPRI Independent Review. Washington, DC: IFPRI.

Statistics on Public Expenditures for Economic Development (SPEED)²³ was updated in 2019 to provide comprehensive public expenditure information across sectors in more than 160 countries. SPEED has specifically informed policy change in Burkina Faso, Malawi, Mali, Nigeria, Togo, and Zambia. In the same vein, PIM strengthened data collection, analysis, and outreach on Agricultural Science and Technology Indicators (ASTI), with outputs in budgetary decisions on agricultural R&D in Algeria, Brazil, Ethiopia, Ghana, Nepal, Pakistan, and Uganda.²⁴

However, at this point in time, and with the available evidence, it is difficult to capture PIM's full range of policy outcomes. This statement should be seen as a consequence of (1) the time lag for policy tools and capacities to be developed and then put into practice, (2) difficulties in attribution of policy changes in most countries and/or contexts, and (3) the CGIAR reporting format for CRPs, which provides information in a fragmented manner. PIM impact assessments are helpful to get a better understanding of PIM achievements and challenges at the country level. An example is the impact assessment of country programs in Africa south of the Sahara (2018),²⁵ based on the Kaleidoscope Model,²⁶ which identified three key factors to influence policy change: "the existence of a relevant problem; the importance of good research evidence on the expected impact of a policy change and of available alternatives; and a focusing event such as an emerging policy crisis." The study also identified three key factors that should feature a theory of change at the country level: a strategic approach to build trust, long-term partnerships, and capacity strengthening. In this context, when an event provides an opportunity, country programs that have been most successful in undertaking short-term analysis, in a flexible manner, have used prior IFPRI research in the country to key policy issues.

Innovations (sphere of control): Between 2017 and 2019 the program produced 116 innovations outputs, mainly from FP1, FP2, FP3, and FP5 (Table 5).

Table 5. Innovations - Breakdown by Flagship

Innovations	FP1	FP2	FP3	FP4	FP5	FP6	Total
#	23	23	20	15	24	11	116
%	20%	20%	17%	13%	21%	9%	1
Stage 3 and 4							
#	8	10	7	1	15	2	43
%	19%	23%	16%	2%	35%	5%	1

Stage 1: discovery/proof of concept - **Stage 2:** successful piloting - **Stage 3:** available/ ready for uptake - **Stage 4:** uptake by next user

In terms of uptake, 42% of the innovations are either ready to be taken up by next users or end users or have demonstrated uptake by next users. Time constraints for this review do not allow us to assess the extent to which this level is good or not. The set of innovations shows a significant contribution to the delivery of public goods rolled out at the country level and a vibrant cross-Center and cross-CRP collaboration in at least three areas: foresight and economywide modeling²⁷, value chain development,²⁸ and gender research via the Gender Collaborative Platform.²⁹ PIM and A4NH worked on the Women's Empowerment in Agriculture Index (WEAI), the Abbreviated WEAI version developed in 2017, and a specific WEAI for value chains (WEAIVC). The index informs more than 50 countries and the African Union's Comprehensive Africa Agriculture Development Programme monitoring framework. PIM work on postharvest losses has also benefited from a good level of collaboration (with the International Maize and

²³ S. K. Lowder. (2018). *Evaluation of outcomes based on the use of the SPEED database 2008–2018*. Washington, DC: IFPRI.

²⁴ PIM annual reports for 2018 and 2019; S. K. Lowder. (2018). *Agricultural Science and Technology Indicators (ASTI): Evaluation of outcomes based on the use of ASTI, 2008–2018*. IFPRI Independent Review. Washington, DC: IFPRI.

²⁵ P. Hazell et al. *Taking stock of IFPRI's experience with country programs*.

²⁶ D. Resnick et al. *Conceptualizing drivers of policy change in agriculture, nutrition, and food security*.

²⁷ Collaboration with CCAFS, FTA, FISH, GLDC, LIVESTOCK, MAIZE, PIM, RTB, and WHEAT.

²⁸ Collaboration with A4NH, BigData, CCAFS, FTA, FISH, Gender, GLDC, LIVESTOCK, MAIZE, PIM, RICE, RTB, and WHEAT.

²⁹ Collaboration with AfricaRice, A4NH, Bioversity International, BigData, CCAFS, CIAT, CIFOR, CIMMYT, CIP, EiB, FISH, FTA, GLDC, ICARDA, ICRISAT, IFPRI, IITA, ILRI, IRRI, IWMI, LIVESTOCK, MAIZE, PIM, RICE, RTB, WHEAT, WLE, and WorldFish.

Wheat Improvement Center [CIMMYT], the International Potato Center [CIP], IFPRI, Michigan State University [MSU], and Wageningen University and Research Center [WUR]), as did research on restoring degraded landscapes in India, Kenya, and Uganda in collaboration with the Water, Land and Ecosystems (WLE) and Forests, Trees and Agroforestry (FTA) CRPs.

PIM's innovations portfolio includes a few innovations with a regional scope, such as the participatory methods to understand gender dynamics in agricultural settings or the monitoring and evaluation framework implemented in the Intergovernmental Authority on Development (IGAD) region in collaboration with the United Nations Economic Commission for Africa to track progress on land governance (including commitments to land rights for women and special groups such as pastoralists). Key innovations with a global scope include the Global Foresight for Food and Agriculture tool, exploring the impacts of alternative investment options on agricultural productivity and food security; the Rural Investment and Policy Analysis model, developed with the International Fund for Agricultural Development (IFAD) to assess policy options in rural-urban linkages and agri-food system employment; the Dynamic Research Evaluation for Management tool, evaluating the economic impacts of agricultural research and development projects; or the Kaleidoscope model, assessing when and where investments in policy reforms are most feasible given a country's underlying political, economic, and institutional characteristics.

2.2.1.3 Progress Against the Milestones

In 2019, 20 milestones framed a theory-in-use progressively developed by PIM as explained in section 2.2.6. Milestones were conceived as steps along the pathway from outputs to outcomes and designed to measure annual progress toward the achievement of outcomes. For the period 2017–19, most of them (90% of more than 50 milestones) were completed (Annex 10). This good result may be in part due to the reformulation of milestones over time, with a near-final milestone structure developed in late 2018. In the Phase 2 proposal, PIM had a total of only 24 milestones; as the CGIAR results framework's focus on milestones increased over time, PIM management added milestones while also improving the clarity and consistency of the milestones' wording. This agile handling of milestones has contributed to difficulties in tracking the linkages between outputs and milestones, and between milestones and outcomes, and thus has led to challenges in assessing the achievement of outcomes.

2.2.1.4 Progress by Flagship

Progress by each FP is assessed based on the qualitative and quantitative evidence available from the interviews and in the POWB, annual reports, synthesis documents, impact assessments, independent evaluations, and studies released by PIM, IFPRI, the CGIAR, and their partners.

FP1 shows good progress on milestones and outcomes, especially in the areas of (1) foresight modeling, where it has recognized collaborative expertise contributing to the global and regional agenda and to national legislation and regulatory reforms; and (2) improved agricultural science, technology, and innovation systems (genetic resource, biosafety, biotechnology,³⁰ and seed systems), including extension systems (e.g., in Ethiopia and Uganda). At the country level, the documents reviewed reflect the impact of cross-Center and cross-CRP collaboration in delivering research in a few cases and what could be the cumulative effects of the myriad of evidence produced across sectors (e.g., with CCAFS on the impact of climate change on future food systems).

FP2: IFPRI leads most of this FP's work, with projects supporting primarily regional (e.g., Asia) and country policy reforms (e.g., via the country programs in Bangladesh, Egypt, Ethiopia, Ghana, Nigeria, Malawi, and Pakistan). Progress against the milestones is reflected in implementation of trainings on economywide and RIAPA models, social accounting matrices (SAMs), and the use of the SPEED database (e.g., in Bangladesh, Egypt, and Rwanda), as well as contributions to evidence-informed policymaking (e.g., national agricultural investment plans in Kenya, Malawi, and Rwanda; Ghana's agricultural devolution reforms on agricultural service delivery). In 2019 three flagship books were released,³¹ and a focus on the political economy stream of work was increased, in terms of both budget and inter-Center cooperation.

³⁰ Progress in biosafety regulation was noted as more challenging in the 2018 annual report: "advance slowly, due to structural issues, contradictory political support, and a general lack of funding."

³¹ Youth and Jobs in Rural Africa, Ghana's Economic and Agricultural Transformation, and the Making of a Blue Revolution in Bangladesh.

The Kaleidoscope Model of Food Security Policy Change developed by PIM aims to capture a set of factors contributing to policy change and was used to address issues related to decentralization/devolution and public sector governance, among others, in Egypt, Ghana, Nepal, Nigeria, Pakistan, and Zambia. USAID now uses the model, which can help researchers capture stakeholders' positions and aspirations, analyze political economy issues in informal and formal markets and systems, and, interestingly, assess the roles and responsibilities of researchers in the political economy of knowledge production.³²

FP3: The flagship has made progress toward a more conducive policy environment at the regional level (e.g., economic partnership agreements, African Continental Free Trade Area) and global level (e.g., measurement of postharvest food loss). At the country level, value chain assessments have been performed, including with attention to gender in collaboration with FP6. There has been less progress in terms of uptake of PIM's value chain analysis (a crowded space including actors with recognized expertise such as IFAD). PIM's revised strategy is to present a variety of tools instead of a 'state-of-the-art' method.³³ The FP team is currently carrying out a series of studies on the impact of COVID on value chains. The FP's work on insurance shows geographically limited progress, with new products piloted in a few countries (e.g., picture-based insurance in India and Kenya).³⁴

FP4: Assessing progress is challenging owing to the small number of milestones and the overlap between milestones. There is limited evidence of informing policy change but good progress in influencing the modalities of programming—e.g., in Ethiopia (design of the Productive Safety Net Program), Egypt (graduation from the Takaful and Karama program through asset transfers and job trainings), and Bangladesh and Mali (combination of cash transfers and nutrition interventions). Several studies aim to inform improved social protection programming in fragile countries such as Yemen, with findings on the positive impact of conditional cash transfers on nutrition shared with the World Bank and the Yemen Social Fund for Development. Finally, FP4 participates in a Cash Transfer and Intimate Partner Violence Collaborative initiative, which aims to expand the evidence on how cash transfer programs can help reduce gender-based violence.

FP5: Almost all of FP5's milestones have been achieved,³⁵ and the flagship has made the most of the cross-Center and cross-CRP collaboration process to empower users of natural resources, particularly women and marginalized groups (e.g., adoption of woreda/district participatory land-use planning for pastoral areas in Ethiopia; norms for renewal of forest concessions in the Maya Biosphere Reserve in Guatemala). Research has resulted in innovations in rangelands management, landscape restoration, multi-stakeholder platforms addressing natural resource competition and conflict, and natural resource governance (e.g., partnership with the Foundation for Ecological Security in India to develop experimental games strengthening groundwater governance at the community level). It has also contributed to monitoring and evaluation systems (e.g., partnership with the African Land Policy Centre of UNECA and later with IGAD to assess progress toward tenure security policy reforms in selected African countries).

FP6: Progress in strengthening the gender dimension in policies is difficult to capture. A strong example of an improved gender dimension in a policy is PIM's contribution to the Nigeria National Gender Policy in Agriculture (in collaboration with FP2). The FP rolled out the Women's Empowerment in Agriculture Index at the country level (e.g., Ecuador, Honduras, Senegal, and Uganda), disseminated gender research via the CGIAR Collaborative Platform for Gender Research's annual scientific conferences, and launched competitive grants to support gender research on seed systems and value chains and on the feminization of agriculture. The FP team collaborated with all other flagships, especially FP3, FP4, and FP5.

2.2.1.5 Conclusions Regarding Achievement of Milestones and Outcomes

Good progress has been made against three common outcomes of the flagships: First, PIM has developed the research capacity of its institutional partners and the capacity of poor and vulnerable groups. Communities of practice have been strengthened in the areas of foresight, value chains, natural resources tenure and governance, and gender. Second, PIM has contributed to more gender-equitable control of assets and resources (main contributions from FP6, FP4, FP5, FP3, and FP2). And third, PIM has informed policymaking at the global, national, and sub-national levels and to a lesser extent at the

³² ISC meeting summaries and PIM workshop on political economy organized in September 2019.

³³ As stated during interviews with FP3 representatives.

³⁴ The insurance work moved from FP4 to FP3 in 2018.

³⁵ The impact of FP5 results on the improvement of end users' tenure security needs further tracking and dissemination (outcome "Tenure security is improved for beneficiaries in 6 countries, with detailed documentation for 2").

regional level. PIM plays a significant role in the delivery of systemwide public goods; however, capturing the full extent of its support to policy change is challenging (especially at the country level) owing to attribution and contribution issues, "the most difficult attribution challenge lying in unraveling the contributions of research outputs versus other, non-research based influences in the creation of a policy outcome."³⁶

2.2.2 Demonstrated Importance of Outcomes (Deep Dive into Selected OICRs)

This section includes the review of six OICRs, including two case studies on Pakistan (case 1), a case study on the Philippines (case 2), two case studies on Ethiopia (case 3), and a case study on intimate partner violence (case 4). These OCIRs were selected based on the following criteria: (1) contribution to a documented policy and practice change, (2) significant range of partners, (3) diverse geographical location, and (4) contribution to cross-cutting issues. OICR analysis sheets are included as Annex 11.

2.2.2.1 Case Study 1: Pakistan Food Security and Marketing Regulation

"PIM findings influence the Pakistan National Food Security Policy and the Punjab Agricultural Policy" (2018) and "PIM studies inform the Punjab Agriculture Marketing Regulatory Authority Act and Ordinance" (2019).

The devolution process introduced by the 18th Constitutional Amendment in Pakistan provided its four provincial governments (Punjab, Khyber Pakhtunkhwa, Baluchistan, and Sindh) larger responsibilities for the prioritization, financing, and delivery of public and private goods and services in food security, agricultural production, and rural/local development (Annex 11). In this context, IFPRI has been influential in keeping agricultural research a priority in the national and provincial (Punjab) agricultural agendas and informing three policies in the framework of the USAID-funded Pakistan Strategy Support Program (PSSP) and Pakistan Agricultural Capacity Enhancement Program (PACE).

IFPRI, in partnership with the Ministry of National Food Security and Research and the Provincial Agriculture Department in Punjab, informed the development of a National Food Security Policy (NFS) released in 2018.³⁷ Focused on the four pillars of food security, the NFS aims at ensuring that the investments in agriculture and food systems have an impact on reducing hunger and all forms of malnutrition. The NFS features agricultural research as a priority area for public sector investments and identifies research challenges.

IFPRI and Cornell research also informed the Punjab agricultural policy reform adopted in 2018 to support small commercial farming for reducing poverty. The policy objective is to increase research-based agricultural production and productivity and enhance Punjab's competitive position in global and regional markets (e.g., the China-Pakistan Economic Corridor). It supports the engagement of women in agriculture by increasing the numbers of female extension agents and introducing an educational program on nutrition and diversified production specifically geared at women (women represent 40% of the sectoral labor force in the region).

The policy also addresses capacity development and climate change by promoting climate-smart agriculture; upgrading existing training institutions and courses, infrastructure, and incentive systems to improve quality of services; and integrating climate change into the public financial management system to access climate finance for climate-smart agriculture. Climate resilience is also addressed under the "stability" pillar of the NFS, which indicates government objectives and institutional arrangements in the field of breeding/genetics and biotechnology.

Policy notes have informed Punjabi agricultural markets, pointing out weaknesses in marketing systems including poor practices, standards, and quality control. These notes were instrumental in informing the design of the Punjab Agriculture Marketing Regulatory Authority Act and Ordinance (PAMRA), promulgated in 2018, which aims to foster a more competitive environment, value addition by producers, and fair marketing practices. The ordinance was converted into a permanent law (act) in 2020.

These OICRs jointly contribute to four sub-IDs: (1) a conducive agricultural policy environment; (2) government use of research results to improve policies, expenditure allocations, institutions, and policy

³⁶ Independent Science and Partnership Council (ISPC). *A reflection on impact and influence of CGIAR policy-oriented research.*

³⁷ With the support of FAO in the context of the Food Security and Nutrition Impact, Resilience, Sustainability and Transformation (FIRST) program funded by the European Union.

processes; (3) reduced market barriers; and (4) increased value capture by producers. It is still unclear, however, how these recently approved policies will be implemented in a context where the devolution process should have led to a transfer of "authority, autonomy, and accountability for local decision making, finance, and management," as underlined by the political economy analysis carried out by IFPRI country teams.³⁸ Such analysis was critical to assessing the institutional context and identifying institutional entry points to support reform efforts as the 2018 elections reshuffled the cards in terms of appointed government officials.

2.2.2.2 Case Study 2: Philippines Food Security, Climate Change Adaptation, and Tarification

"Policies for improved food security and adaptation to climate change in the Philippines" (2018), and "PIM research informs agricultural policies aimed at ensuring the long-term success of the 2018 Rice Tarification Act in the Philippines" (2019).

The 2019 edition of the Global Climate Risk Index cited the Philippines as the second country most affected by climate change and the fourth among the long-term climate-impacted countries (1999–2018). The country's geographical position makes it vulnerable to climate change and natural disasters, and poor and vulnerable communities relying on subsistence farming are the most severely affected by adverse climatic events. Since 2013 IFPRI has collaborated with the Philippines National Economic and Development Authority (NEDA) to support evidence-informed agricultural, climate change, and food security policy decision-making.

The two OICRs result from a partnership between PIM's FP1, CCAFS, IFPRI, national academic institutions, the government (Department of Agriculture, Department of Environment and Natural Resources, and NEDA) (Annex 11). They contribute to three sub-IDs: (1) more conducive policy environment for technology adoption, (2) increased capacity of partner organizations, and (3) improved forecasting of the impacts of climate change and targeted technology development.

PIM studies underlined the adverse effects of a rice self-sufficiency policy based on price intervention and trade restriction and the way an adaptation strategy (reducing government subsidies and redirecting funds to agricultural research and development and rural infrastructure) could promote technological change and agriculture productivity. Findings were presented at high-level policy forums in 2015 and 2016 and contributed to the publication *The Future of Philippine Agriculture under a Changing Climate: Policies, Investments, and Scenarios*,³⁹ including a synthesis of the gender-differentiated impacts of climate change and adaptation responses in the Philippine agricultural sector. This research informed the formulation of the Philippines Development Plan 2017–22.⁴⁰

PIM also informed the Rice Tarification Act, adopted in 2019, and policy options were assessed to facilitate the implementation of the act: an ex-ante evaluation of the impact of the removal of the quantitative restrictions on Philippine rice Imports was carried out in 2019.⁴¹ The evaluation underlined how investments in agricultural R&D contribute to the development of climate-resilient technologies and increases in yields and highlighted the role of national agricultural research systems, national research institutions, and agricultural extension agencies in technology development, transfer, and adoption. The evaluation promoted the diversification to high-value crops and identified a cash or income transfer transition strategy for affected rice farmers. Based on these recommendations, the Department of Agriculture launched a plan to increase rice productivity and crop diversification and set up the Rice Farmers Financial Assistance scheme (unconditional cash transfer), targeting 600,000 rice farmers with farms ranging from 0.5 hectare to 2 hectares.

These OICRs result from long-term working relationships among CGIAR Centers' staff and between CGIAR Centers and government officials. They demonstrate important outcomes derived from demand-driven policy change and implementation. As in Pakistan, however, most of the government

³⁸ D. J. Spielman, S. J. Malik, P. Dorosh, & N. Ahmad. (2016). *Agriculture and the rural economy in Pakistan: Issues, outlooks, and policy priorities*. Washington, DC: IFPRI.

³⁹ M. W. Rosegrant and M. A. Sombilla. (2018). *The future of Philippine agriculture under a changing climate: Policies, investments, and scenarios*.

⁴⁰ PIM. (n.d.). *Guiding policies to promote agricultural growth, food security, and adaptation to climate change in the Philippines*. <https://pim.cgiar.org/impact/outcomes/guiding-policies-to-promote-agricultural-growth-food-security-and-adaptation-to-climate-change-in-the-philippines/>

⁴¹ IFPRI. (2019). *Ex-ante impact evaluation of the removal of quantitative restrictions (QR) on Philippine rice*. Project Fact Sheet. Washington, DC: IFPRI.

representatives involved have left their positions since the policy reform, which affects the institutional dialogue.

2.2.2.3 Case Study 3: Ethiopia Improved Seed Marketing and Digitization of Extension Services

'Agricultural Transformation Agency's Improved Seed Marketing system in Ethiopia scaled up to 1.4 million farmers based on a PIM evaluation' (2019) and 'A digital agricultural extension platform to boost adoption of improved technologies and practices in Ethiopia' (2019).

The Ethiopia Strategy Support Program ESSP⁴² is a collaboration between IFPRI and the Ethiopian Development Research Institute (EDRI). It is based on the Addis Ababa campus of the International Livestock Research Institute (ILRI) along with IFPRI's Eastern and Southern Africa Regional Office, and also maintains an office at EDRI. ESSP research priorities are determined by a National Advisory Committee (NAC) chaired by EDRI's Executive Director, the Chief Economic Adviser to Ethiopia's Prime Minister. The NAC includes the Minister of Agriculture, the Head of the Planning Commission, the Directors General of the Ethiopian Institute for Agricultural Research (EIAR), and the Central Statistical Authority (CSA), and the President of the Ethiopian Chamber of Commerce. No donor representative is included in the committee.

Early ESSP activities included economic research and technical and analytical support for the establishment of the Ethiopia Commodity Exchange, launched in 2008, and the development of the *Atlas of the Ethiopian Rural Economy*, under the responsibility of the CSA. Informed by several IFPRI-led diagnostic studies, including studies on grain marketing and value chains, the government established the Ethiopia Agricultural Transformation Agency (ATA) to refine and guide policy changes to address systemic bottlenecks in the agricultural economy, with funding from the Bill & Melinda Gates Foundation (BMGF). Two evaluations of the ESSP showed strong government reservations about involving the private sector in the seed breeding and distribution system.⁴³

IFPRI/PIM conducted two studies. The first, an operational evaluation of a pilot project Integrated Direct Seed Marketing Program (ISSD) (2014)⁴⁴, found the program led to many positive outcomes, and the Agricultural Transformation Agency (ATA) subsequently expanded it. The follow-up study in 2016 showed that traditional government marketing systems could be reliably replaced with direct marketing systems involving private sector breeders and distributors, maintaining quality of seeds and geographic distribution coverage while saving US\$34 million in government expenses. The studies were instrumental in encouraging ATA to roll out and scale up the direct seed marketing system after its pilot phase. In 2018 the program was used in 228 districts, involving 47 seed producers, and benefiting 1.4 million farmers.

The above studies were done by IFPRI's Research for Ethiopia's Agriculture Policy (REAP) project, which has provided long-term analytical support to the ATA and the Government of Ethiopia. FP1, FP2, and FP3 were involved. As a result, the studies were well embedded in national and local networks of interested parties and strongly linked up with relevant Ethiopian agencies and programs. Its focus on an existing pilot, run by ISSD, made it possible to integrate previous experience and previously developed knowledge by several national and international parties.⁴⁵

In 2019 the Government of Ethiopia launched Digitizing Agricultural Advisory Services, a countrywide project implemented in partnership with the Ministry of Agriculture and Natural Resources, Digital Green, USAID, BMGF, and DFID. The project aims to develop a digital platform to deliver location and time-specific advice to farmers. IFPRI's results on the benefits of Digital Green's video-mediated approach to agricultural extension strongly influenced this investment.

⁴² F. Place & P. Hazell. (2018). *IFPRI country program support: Lessons from case study successes*. IFPRI Discussion Paper 01739. Washington, DC: IFPRI.

⁴³ P. Paul, T. Assefa, & J. Chester. (2011). Joint mid-term formative evaluation: Ethiopia Strategy Support Phase II (ESSPII). DevPar Consortium for the Canadian International Development Agency (CIDA); M. Renkow & R. Slade. (2013). *An assessment of IFPRI's work in Ethiopia 1995–2010: Ideology, influence, and idiosyncrasy*. Independent Impact Assessment Report No. 36. Washington, DC: IFPRI.

⁴⁴ T. Benson, D.J. Spielman and L. Kasa (2014). Direct Seed Marketing Program in Ethiopia in 2013: An Operational Evaluation to Guide Seed-Sector Reform, IFPRI Discussion Paper 01350, May 2014

⁴⁵ Acknowledgments, Bension et al. (2014). See footnote 44 for full reference.

IFPRI's 2017–18 multiyear randomized control trial⁴⁶ with Digital Green showed that digitized agricultural advisory services were able to reach more farmers, including women, and enhance their knowledge and adoption of improved agricultural technologies and practices to a higher extent than traditional extension services. Part of wider cooperation between BMGF, USAID, the Government of Ethiopia, and IFPRI, it built on relations of trust previously developed with IFPRI as a provider of evidence of policy impact. Presented in July 2018, the evidence contributed to the Government of Ethiopia's decision to invest in digital extension, as confirmed by Digital Green's senior management.

Outputs and outcomes are aligned with the PIM ToC and FP1 impact pathway, contributing to a more conducive policy environment for technology adoption (sub-IDO) as well as to enabling national partners (IDO), in this case, the Ministry of Agriculture and Natural Resources and Digital Green, an NGO working at the national and global level. Both policy and innovation outcomes have a strong public goods character and are widely applicable beyond Ethiopia.

2.2.2.4 Case Study 4: "PIM Research Spurs Collaboration and Investments to Reduce Violence against Women" (2018)

Intimate partner violence is a growing global concern. PIM studies in Bangladesh, Ecuador, and Mali, as well as a global review of 22 quantitative and qualitative studies, have produced promising results: Cash transfer programs can reduce intimate partner violence (IPV). In 2014 718 million people worldwide were recipients of cash transfer programs, so these programs provide a potential vehicle for global impact on IPV. This inspired a donor to provide funding (US\$730,000 for 2019–20) for the creation of a research collaborative focused on cash transfers and intimate partner violence. This investment may be considered a first outcome on the way to increased investment in more inclusive AR4D at the global level. The research collaborative, in addition to generating evidence, develops partnerships with relevant policymakers and institutions, seeks to draw lessons on the design of social protection programming to reduce IPV,⁴⁷ and communicates its results. The partnership holds strong potential for producing both institutional innovations (in cash transfer programs) and policy change (in social protection and gender policies). It is an example of how PIM creates space for research innovation and brings together different research areas into joint policy-oriented research. To fulfill its potential, the partnership will have to be further developed, engaging policy and implementation partners at the national as well as the global level.

2.2.2.5 Conclusions on the Demonstrated Importance of Outcomes

In the Pakistan and Philippines case studies, a policy constraint justified the outlay of country programs and/or PIM resources on a set of research activities that led to outputs (research papers, studies, notes, briefs, conferences, and other publications) that involved different stakeholders in an interactive advocacy process within a window of political opportunity. From this advocacy process, outcomes have emerged in the form of changed policies and regulations, and efforts are ongoing to inform policymakers on the effects of their implementation on smallholders. The cases illustrate the complex and systemic character of PIM's engagement with next users and implementation partners on policies, institutions, and markets. They show how PIM's contributions result from an advocacy process enshrined in a mid- to long-term perspective, faced with a series of challenges affecting the institutional dialogue (e.g., democratic transition).

The Ethiopia seed marketing case study is an interesting example of how evidence may inform policymaking. It describes a plausible contribution of evaluative research to a shift in the thinking of national policymakers, who went from being skeptical about private sector involvement in seed production and distribution, to trying it, and eventually to scaling it up after the pilot proved successful. It shows that the processes involved took time and built on the social capital developed by a long-term partnership. It also clearly links the application of CRP research to development outcomes. Both policy and innovation outcomes have a strong public goods character and wide applicability beyond Ethiopia. A robust contribution analysis, however, would have required more information from the stakeholders and partners involved, as well as referencing citations from them. Also, a policy brief presenting the main

⁴⁶ G. T. Abate, T. Bernard, S. Makhija, & D. J. Spielman. (2019). *Accelerating technical change through video-mediated agricultural extension*. IFPRI Discussion Paper 1851. Washington, DC: IFPRI.

⁴⁷ S. Roy, M. Hidrobo, J. Hoddinott, B. Koch, & A. Ahmed. (2019). *Can transfers and behavior change communication reduce intimate partner violence four years post-program? Experimental evidence from Bangladesh*. IFPRI Discussion Paper 01869. Washington, DC: IFPRI. <https://www.ifpri.org/publication/can-transfers-and-behavior-change-communication-reduce-intimate-partner-violence-four>

results of the study and subsequent policy measures taken by the ATA/Government of Ethiopia, drafted by ATA in collaboration with IFPRI and ISSD, would have added credibility and provided interesting communication material for sharing results with other interested parties outside Ethiopia. We also did not find a short report on lessons from the experience that could have helped draw lessons on how to improve PIM's approach to influencing policy change. A suggestion on the basis of this OICR would be to take advantage of OICRs as a learning opportunity for the research team and collaborating stakeholders about how to optimize the process of informing.

The Ethiopia Digital Green case study shows that evidence on the effectiveness of a particular extension method can be instrumental in decision-making about scaling up investments, programs, and approaches. It also shows that government investments and donor programs can be effective in upscaling pilots and achieving broader coverage of beneficiary groups of both men and women. The second lesson may be that this OICR shows that through the partnership of NGOs, donors, and national agencies with IFPRI, the original approach has been further developed into a more complete platform, FarmStack, integrating more data and materials that can be of immediate use to farmers (men and women) to improve their farm-level decision-making (i.e., weather forecasts, market prices). Finally, it would be interesting to investigate which approach is most effective: collecting evidence on innovative initiatives by partners, such as Digital Green's video-mediated extension approach in Ethiopia, or doing research to develop new initiatives and instruments from scratch? In the first case, research supports practical approaches designed by stakeholders; in the second, research feeds the design of new solutions. Or are these approaches perhaps complementary, to be used in parallel?

The IPV case study represents a first and necessary step in how PIM approaches generating innovative, interdisciplinary insights that may impact global as well as national policies and institutions. It establishes an effective link between two policy areas, and it develops and acquires funding for a global partnership to expand the research program in order to generate well-defined policy recommendations and institutional innovations adapted to different contexts. Interviews confirm that PIM regularly plays this role of opening up new interdisciplinary areas of research. It may be useful for PIM to more clearly recognize this early phase in its ToC and IPs, particularly when facing politically sensitive issues.

2.2.3 CRP Management and Governance

PIM's management did well during the period reviewed, streamlining objectives, milestones, and outcomes; creating an open atmosphere between researchers; enabling researchers from diverse CGIAR and other research centers and disciplines to engage; and encouraging them to seek new allies and allies to strengthen the program's performance. Also, it has been noticed that PIM management created favorable conditions for a diverse set of young researchers to integrate into the program and pursue their professional development. PIM management has made deliberate efforts to ensure diversity in its research teams, stimulating the integration of different disciplinary and institutional perspectives.

The PIM management has encouraged cross-Center learning by linking up with social scientists throughout CGIAR and strengthening systemwide communities of practice on foresight, value chains, natural resources tenure and governance, and gender—all key areas of the PIM program. The investment in research and critical reflection on PIM/IFPRI partnerships for impact, evident from workshop papers and publications during phase I, may have been less systematic during Phase II. As a policy and institutional change-oriented research program, this might limit its development. To ensure impact, PIM's approach to developing influencing networks and innovation partnerships with external users and implementation partners should be viewed as key and of the same importance as PIM's research.

PIM management runs a decentralized operation, delegating key responsibilities to FPs and research teams. From a research and stakeholder engagement perspective, this is the right choice. However, it places a high burden on the program's administrative, monitoring, and reporting functions. Various systems are used in parallel, making data integration cumbersome. Certainly, this has to do with the fact that different CGIAR centers use different systems; nonetheless, the way PIM brings data together for learning deserves a critical look (see also section 2.2.4).

The review team gauged the limitations imposed on PIM's performance by the lack of funding predictability. We also observed the additional strength brought to the program by managing partners, collaboration with CGIAR and other research centers, multi-stakeholder partnerships, and country programs. We have seen how W1/W2 funding allowed PIM to develop and maintain its strategic course over the years. Surely, the strong long-term partnerships between IFPRI, the PIM lead center, and some bilateral donors also contributed. However, path dependence poses a risk to PIM's independent, open-minded role. Therefore, while it is crucially important to increase the predictability of a large proportion of

PIM funding, this should not stand in the way of engaging partners, donors, and investors in innovative lines of research and policy influencing, if the needs of next users and implementation partners so require.

PIM management has actively promoted outreach to a wider public of potential next users, their institutions, and implementing partners. At the same time, CGIAR's scientific culture and incentive systems for staff continue to favor publications in peer-reviewed journals, which is understandable from the point of view of scientific credibility and legitimacy. A continuous, thorough reflection on finding the right balance between scientific and public outreach seems warranted for the effectiveness of PIM's policy influence and institutional and market innovation. Such a reflection should be context sensitive: political and institutional cultures and processes differ from country to country and between the local, national, regional, and global levels.

Notwithstanding the above, the review team has received clear signals that direct support from PIM's or CGIAR Centers' communication teams to individual researchers contributes significantly to their ability to reach out beyond the scientific community. These same signals point at the very limited capacity of existing communication teams, whether PIM or IFPRI, to proactively provide support to all researchers. While direct contacts and evidence-based workshops and conferences are key to influencing policy and promoting institutional change, consistent media outreach helps inform the countrywide networks that policymakers and executives refer to in their decision-making process. Therefore, it would be beneficial to boost the capacity of the communication teams to support PIM research teams in their outreach efforts.

2.2.4 Program Planning and Reporting

Annual planning and reporting processes are based on the following key documents: at the activity level, PIM activity plans and reports from principal investigators; at the CRP level, plans of work and budget (POWB), and annual reports. During the period covered by this review, these processes faced significant systemic issues, including the design, reliability, and therefore limited use at flagship level of the MARLO management tool, which aims to facilitate both the monitoring of progress toward the SRF SLOs and the production of CRPs' operational documents (POWB and AR). Efforts are underway to improve MARLO's ability to provide an adequate view of the program's activities and results (including at the country level).

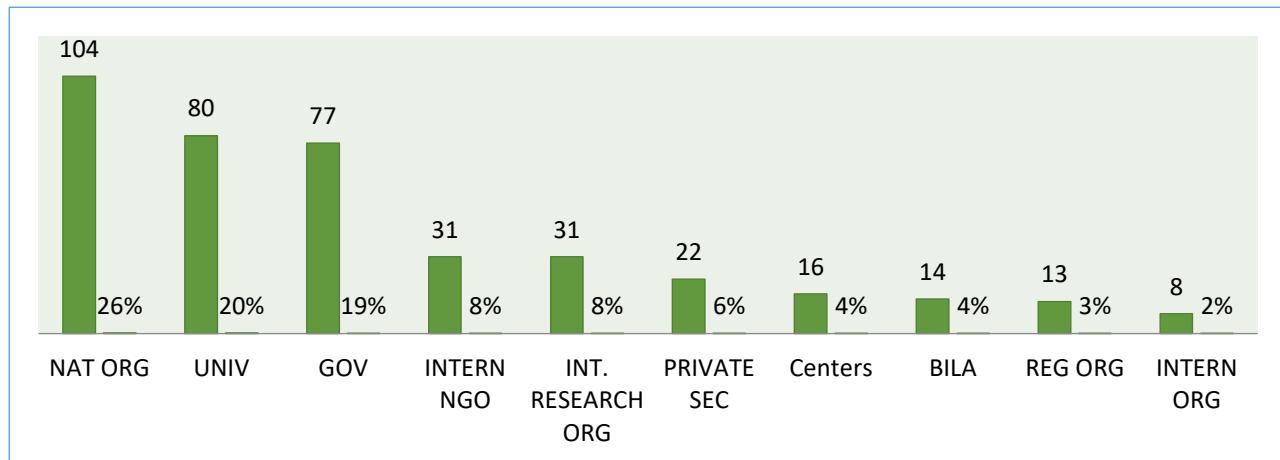
Owing to PIM's broad mandate and geographic scope, the PIM annual reports cover a wide range of activities, intended to enable donors and partners to gauge results and outcomes. However, the CRP AR template is not conducive to demonstrating coherence across the flagships' portfolios, and the mix of outputs and outcomes common results reporting indicators⁴⁸ does not fully allow for assessing progress along the program's theory of change or the flagships' impact pathways. In the same vein, the systemwide OICR template does not provide for a complete picture of the results achieved and/or the cumulative effects of PIM outcomes at the country level, as illustrated by the Pakistan case study. Since 2018 PIM has made a deliberate effort to share information about outcomes in a more integrated and user-friendly manner in selected research areas and countries, especially in the One CGIAR impact areas.

2.2.5 Partnerships

Partnerships are a key component of PIM's theory of change. PIM collaborates with more than 400 partners⁴⁹ (Annex 2.9 and Annex 2.10). This high number illustrates the capillarity of PIM's work, which relies on a broad array of organizations embedded in national and local ecosystems. Asia and Eastern Africa have the highest numbers of partners. National and international research institutions (30%), universities (20%), and governments (19%) are key categories of partners contributing to outputs, innovations, policy changes, and capacity development. PIM works with a more limited number of regional organizations and private sector actors (representing 10% of partners), while international organizations represent only 2% of the program's partners. The partnership with the UN family has matured (e.g., FAO on food loss and Food Security portal; IFAD on modeling and impact assessment; and the World Bank on subsidies and agricultural incentives) but is not structured by a high-level strategic dialogue (Figure 3 and Annex 12).

⁴⁸ List of policies; list of innovations, outcomes, and milestones; list of peer-reviewed journal articles; Altmetric; list of external partners.

⁴⁹ This number is extracted from MARLO and is likely underestimated given that not all partners are systematically entered in MARLO. To avoid double-counting, partners were counted one time for either a single-year, two-year, or three-year partnership.

Figure 3. Breakdown partnership PIM: by type of partner

The FPs' impact pathways show that policy change is achieved by enhancing the institutional capacity of partner organizations, and the documents reviewed indicate that a high number of partners seems to correlate with a high number of OICRs. In Nigeria and Tanzania, for example, PIM has strengthened the capacity of more than 10 different partners and released significant outcome stories.⁵⁰ Although CGIAR Centers represent only 4% of PIM's partners, this low proportion does not reflect the intensity of inter-Center collaboration under PIM, as most of PIM's projects involve at least two and often several Centers. cross-Center and cross-CRP collaborations appear to be critical but take place in a context of competitive and limited resources and can result from subjective decisions about funding ("a natural bias could be to support your own work," as underlined during interviews). A number of cross-CRP collaborations are showcased in the annual reports and OICRs, and mentioned during interviews, but—to the review team's knowledge—no study or evidence captures if and how these collaborations have played a significant role in achieving PIM outcomes.⁵¹

2.2.6 Progress Along the ToC (CRP and FPs)

According to its TOC, PIM informs policy and practice mainly toward increased income and productivity (SLO1) and restoration of degraded land (SLO3). To this end, the program engages in partnerships with decision-makers at the global, regional, and national levels. Entry points are identified to support policy and institutional change toward inclusive rural transformation, priorities are identified for increased public spending, improved public service delivery is scaled up, and the capacities of partners and stakeholders are increased in all these areas. During the interviews, the formulation of the PIM theory of change and FP impact pathways was often referred to as an exercise that was "more formal than strategic," resulting in "complicated frameworks."⁵² This situation has proved challenging for at least two reasons: (1) the level of skills required to draft them has been uneven across FPs, and (2) the process would have benefited from more methodological guidance from the System Management Office.

The FPs' impact pathways show contributions to 36 different outcomes—9 IDOs and 27 specific outcomes linking FPs outputs and sub-IDOs. Most of the 2022 outcomes target a number of countries, institutions, and instances, but no indicators allow for measuring progress toward what can appear as broad achievements (e.g., FP4 "improved social protection innovations provide food and nutrition benefits to poor households in 3 countries" or FP5 "tenure security is improved for beneficiaries in 6 countries, with detailed documentation for 2 countries"). In 2018 PIM developed a more consistent and systematic set of quantitative milestones that replaced the initial patchy set of heterogeneous (some quantitative, others not) milestones included in the Phase II proposal performance indicators matrix. CRP milestones have gained traction in the CGIAR donor community, which is eager to see results in the short

⁵⁰ Pre-analyzed CAS documentation from the CGIAR dashboard.

⁵¹ OICRs have documented in a few cases cross-CRP investments such as the Philippines case study analyzed in this review (PIM and CCAFS), the Mayan Biosphere reserve OICR (PIM and FTA), the use of collective action games (PIM and WLE), and improved rangeland management (PIM and LIVESTOCK).

⁵² FPs and PMU interviews.

and medium term. During the period covered by the review, the milestones continually evolved and were used more commonly in PIM's day-to-day work than the "specific outcomes" described in the impact pathways.

Milestones and theory-in-use: Annex 13 details a streamlined set of FP outcomes and milestones feeding PIM theory-in-use. The set excludes three milestones that could not be achieved because of design issues that resulted in the need for difficult counterfactual demonstrations (FP1, "adoption of technologies and management practices is 20% above counterfactual without supportive technology dissemination innovations and policies"; FP2, "agricultural growth and rural incomes are increased above counterfactual trend"; and FP3, "earnings of smallholder farmers from specific value chains increase by 20% as a result of interventions in targeted value chains"). Overall, the set informs impact pathways. FP1 foresight modeling, for example, has informed the CGIAR research portfolio and strengthened a community of practitioners using models at the Center and CRP levels (milestone year 1). Researchers' capacity for foresight analysis has improved, as showcased in different Centers' reports on how this evidence informed policy and strategy decision-making by governments,⁵³ multilateral organizations, and donors⁵⁴ (milestone years 2 and 3).

2.3 Cross-cutting Issues

2.3.1 Capacity Development

The FPs have developed clear impact pathways for capacity development, which is one of their three common outcomes. PIM aims to strengthen the capacity of its institutional partners and researchers in using tools and methods to inform policies and programming at the global, regional, national, and subnational levels. At the country level, curricula on biosafety in Malawi and forestry in Peru have been improved; capacity development spans different national and provincial policy reforms such as in Pakistan and Rwanda; and the delivery of extension and advisory services has been improved in Ethiopia and Malawi (Annex 2.8). The annual report format presents an atomized view of capacity development, with two reporting items focused on this issue: capacity development scoring of policy changes (since 2018)⁵⁵ and OICRs (since 2017), and the indicator on "number of participants in capacity development activities." The annual reports mention that approximately 24,200 people (including 15,300 men and 8,900 women) benefited from training activities, but this figure is not very informative in terms of impact on capacity improvement. Moreover, as underlined by the ISC, the FPs' capacity development efforts are not integrated into an overall and explicit PIM capacity development strategy.⁵⁶ In a CGIAR context lacking a "systemic coherent strategy on capacity development" with "very limited evidence that capacity analysis takes place as part of CRP development or that such analysis is carried out with partners,"⁵⁷ in 2019–20 PIM commissioned a strategy paper on capacity development to inform the One CGIAR reform.

2.3.2 Gender, Including the Collaborative Platform for Gender Research

Gender has been a priority area of work for PIM. It has had success in achieving more gender-equitable control of assets and resources, but progress in strengthening the gender dimension in policies is more difficult to capture. From 2017 to 2019, the Royal Tropical Institute (KIT) coordinated the CGIAR Collaborative Platform for Gender Research, housed in PIM's FP6 to serve the whole CGIAR gender research community. The platform has been particularly successful in growing communities of practice, organizing annual scientific conferences and capacity development workshops, facilitating co-funded studies on specific cross-cutting topics through annual research calls, informing CGIAR-wide gender research through a CGIAR publication on gender and agriculture expected to be released in 2020, and annually reviewing the insights of PIM gender analysis.⁵⁸ According to the documentation reviewed and

⁵³ Cambodia, Colombia, Dominican Republic, Indonesia, Philippines, South Africa, Uzbekistan, and Vietnam.

⁵⁴ USAID, Bill & Melinda Gates Foundation, Asian Development Bank, Inter-American Development Bank, OECD, UN agencies (FAO, IFAD, UNEP), and the World Bank.

⁵⁵ In 2018 the CRP Annual Report Template introduced a capacity development cross-cutting marker score for the reported 43 policy changes. Over the period 2018–19 capacity development received a score of 1 (significant) for 44% of the reported policy changes or 2 (principal) for 23% of the reported policy changes.

⁵⁶ According to the Chair of the ISC, "currently PIM does not have a unifying capacity building strategy, but capacity building happens in many areas of the program. ISC meeting summaries (2019)."

⁵⁷ Multilateral Organisation Performance Assessment Network (MOPAN): CGIAR 2019 Performance Assessment and CGIAR - IEA (2017), Evaluation of Partnerships in CGIAR: Independent Evaluation Arrangement (IEA) of CGIAR.

⁵⁸ The reviews are based on scores established by researchers showing whether their gender content is principal (gender is the main focus of the research), significant (gender is an important part of the research), or not targeted.

interviewees, the platform has mobilized—to a great extent—PIM’s efforts toward resolving funding and visibility challenges. These efforts took place in a context where the platform’s landing in PIM raised concerns from the Centers and CRPs. To address these concerns, the System Council proposed upgrading the platform to a full-fledged platform in mid-2018, and the System Management Board endorsed the proposal in October 2019. PIM retains a focus on gender research in several flagships: FP6 addresses research and metrics related to empowerment (including intimate partner violence), women’s involvement in decision-making and outcomes, and rural transformation and gender implications (including effects of migration). FP5 addresses rights to resources and participation in governance institutions. FP4 addresses gender-differentiated outcomes from different social protection programs and modalities. The challenge ahead will be to further strengthen the CGIAR gender community, continue to build a body of knowledge, and further position gender research at the core of the One CGIAR agenda.

2.3.3 Youth

Approximately 90% of the policies,⁵⁹ innovations, and OICRs show that youth was not identified as a significant area of relevance. The annual reports present a list of youth-related studies in a piecemeal fashion. The program’s Phase II proposal describes the PIM youth strategy as “addressing agricultural employment, with an emphasis on land, capital, and skills.” PIM research covers mainly countries in Africa south of the Sahara, with a stronger focus on youth employment in 2019–21, including the publication of the book *Youth and Jobs in Rural Africa* in 2019.

2.3.4 Climate Change

Climate change is a cross-cutting issue for all the FPs and a specific sub-IDO of the FP1 impact pathway.⁶⁰ Since 2018 a cross-cutting marker score has been used to indicate whether policies are addressing climate change.⁶¹ For the period 2018–19, 60% of the policies’ scores show that climate change was not identified as a significant area of relevance. Increasingly, however, PIM has produced climate change research using, for instance, PIM foresight work to shape global, regional, and national policies. A study commissioned by the ISPC in 2020 focuses on the implications of recent foresight studies for CGIAR research as it relates to climate and environment.⁶² The study points out that foresight studies should further explore policy change and governance arrangements incentivizing food system change, including in specific country settings. It also underlined the critical role of regular foresight analysis in coordinated priority setting both within CGIAR and with country partners.

2.3.5 Conclusions Regarding Cross-cutting Issues

Most of the flagships contributed to capacity development and more gender-equitable control of assets, but the reporting documentation and indicators do not allow us to capture the impact of PIM’s capacity development activities or the progress made in strengthening the gender dimension in policies. During the period covered by the review, youth issues have not been a significant area of research, but they have gained traction since 2019. Finally, PIM has produced climate change research using foresight analysis to contribute to shape global, regional, and national policies. This achievement should be gauged in a context where future regular foresight analysis could contribute to priority setting in a coordinated manner both within CGIAR and with country partners.

⁵⁹ For 2017 and 2019, 90% scored 0 (not targeted), and for 2018, 68% scored 0.

⁶⁰ FP1 sub-IDO ‘Increased forecasting of impacts of climate change and targeted technology development.’

⁶¹ The absence of scores for innovations limits the assessment of the program’s contribution to climate change.

⁶² M. Zurek, A. Hebinck, & O. Selomane. (2020). *Food and agriculture systems foresight study: Implications for climate change and the environment*. CGIAR Independent Science for Development Council (ISDC).

2.4 Future Orientation

2.4.1 Potential Future Contributions at the CGIAR sub-IDO Level

PIM milestones and 2022 outcomes form the backbone of a theory-in-use featured by two critical processes and five core outcomes/sub-IDs covering all the FPs (except FP4) (Annex 10).

The critical processes are (1) an interactive advocacy process enabling strategic collaboration to produce and disseminate evidence (via networking, convening, financing, lobbying, and other activities) and (2) a capacity development process to enable people to inform, formulate, and implement policy and institutional reforms and improve public service delivery.

The five core outcomes are (1) increased use of and access to foresight and integrated economywide modeling and improved datasets; (2) increased public spending and improved public service delivery in agriculture; (3) increased investment and improved capacity in national agricultural research; (4) improved and integrated ASTI systems; and (5) reduced market distortions, more inclusive and sustainable value chains, and increased access to natural resources, services, and markets for smallholders and rural businesses.

These processes and core outcomes should capture how well the program is placed to contribute to future CGIAR impact areas and address shocks such as COVID-19. Additionally, PIM's future orientation should (1) contribute to advocacy by further identifying the conditions under which policy reform is implemented and the effectiveness of policy implementation (i.e., by dedicating more resources to political economy analysis) and (2) increase the research capacity of institutional partners for both policy interpretation and implementation. Such support requires a sustained long-term commitment to ensure the effective delivery of policy and institutional change and to achieve the greatest impact.

2.4.2 Lessons for the Future on PIM's Management and Governance

On the basis of the evidence studied, the review offers a number of suggestions on management and governance to nurture PIM's ongoing reflections on how to realize its full potential.

1. Because PIM is an integrated, interdisciplinary research program oriented toward policy and institutional change, its research is embedded in partnerships and networks of research organizations, next users, and implementation partners. Each of these actors plays a role in the political landscape under scrutiny. PIM would benefit from intensifying its efforts to research and learn from its past experiences with regard to how effective partnerships and networks are built and maintained and how they have affected the planning, organizing, and outcomes of its policy influence, institutional innovation, and capacity-strengthening efforts.
2. Path dependence poses a risk to PIM's independent, open-minded role. However, while long-term multiannual funding is crucial to increase the predictability of PIM funding, this should not stand in the way of engaging partners, donors, and new investors in innovative lines of research and stakeholder interactions if the needs of next users and implementation partners so require.
3. A thorough reflection on the balance between scientific and public outreach seems indicated. Such a reflection should be context-sensitive, as political, institutional, and communication cultures and processes differ from country to country and between the local, national, regional, and global levels. The reflections may include the prioritization of key messages, the choice of and balance between different media, the specification of the various audiences to be reached, and the timing and frequency of communication about PIM highlights. These reflections are probably best inserted in the strategic research and learning trajectory suggested in point 1 above.
4. Strengthening the capacity of the communication teams that provide communication and outreach support to PIM research teams needs to be considered for PIM to fulfill its potential.

2.4.3 Conclusions on Future Orientation

PIM has progressed significantly toward achieving its objectives. Its scientific work, stakeholder partnerships, and networking have been robust and effective. To fulfill its potential, improvements in the following areas should be considered: internal monitoring, knowledge management, and learning.

Next to research, PIM is defined by the way it manages two critical processes: (1) interactive policy influencing and advocacy that enable strategic collaboration with next users and implementation partners to produce and disseminate evidence (through networking, convening, financing, lobbying, and other

activities) and (2) capacity development, creating human capital able to inform, formulate, and implement policy and institutional reforms and improve public service delivery.

PIM should invest more in researching its own approaches and learning from its experiences, focusing on how effective partnerships and networks are built and maintained and how they have affected the planning, organizing, and outcomes of its policy influence, institutional innovation, and capacity-strengthening efforts. This requires a sustained long-term commitment to ensure the effective delivery of policy and institutional change and to achieve the greatest impact.

Strengthening the capacity of the communication teams that support PIM researchers to reach out to audiences beyond the scientific community seems overdue. Besides, PIM should invest in a thorough reflection on its media choices and the balance between scientific and public outreach.

3 Recommendations

3.1 Recommendations for PIM

Recommendation #1.1: Continue to integrate and disseminate political economy analysis in, and beyond, the PIM program portfolio. Successful contribution to policy reform requires “a unique blend of opportunism, humility, preparation, focus, credibility, and good timing.”⁶³ Political economy expertise is critical to complement evidence, but PIM’s focus and resources in this area have, until 2018, been very limited. While policy analysis processes have increasingly gained traction at CGIAR, PIM, and IFPRI (with new avenues being explored such as citizens’ policy preferences or budget investment priorities in the context of COVID-19), political economy analysis should do more to guide country programs’ engagement in policy dialogue.

Recommendation #1.2: Carry out and disseminate, through outreach and communication activities, a review of PIM’s overall impact in selected countries, including the program’s contribution to analyzing the COVID-19 crisis. PIM has developed and disseminated data, tools, and methods informing governments on spending, programming, and policy and institutional reforms in more than 50 countries. The program has produced a significant number of policies and innovations captured in a fragmented manner in the OICRs. A review using an inclusive and sustainable agri-food system lens could be performed in a set of countries to assess what critical mass of evidence and key factors contributed to mid- to long-term achievements.

Recommendation #1.3: Carry out an independent review to collect lessons from PIM’s partnerships within and outside of CGIAR and extent to which these contributed to achievement of policy changes and other outcomes. PIM has documented elements of its partnership strategy in its Phase II proposal and annual reports, and IFPRI includes partnerships as a specific element in its current Center strategy from 2013, but it does not have a specific partnership strategy. In this context, FPs often adapt to a changing decision-making milieu where research is collaborative and engaging strategically with partners and CGIAR Centers is a critical piece in moving policy research to outcomes. A review should capture the lessons learned about the main opportunities and challenges that arise in pursuing policy changes and innovations in a context where a significant portion of CRP work “can be mapped to CRPs, but has arisen from Center rather than CRP-specific decisions,” according to an independent evaluation of CGIAR partnerships released in 2017.⁶⁴

Recommendation #1.4: Carry out an independent review of PIM’s collaboration with other CRPs, examining how joint efforts contributed to PIM’s impact pathways. Quantitative or qualitative evidence and incentives regarding cross-CRP collaboration have been more difficult to capture than evidence of cross-Center collaboration. For example, some evidence suggests that PIM and CCAFS have jointly addressed climate change; however, the design of the present review did not allow for an in-depth assessment of cross-CRP collaboration along FPs impact pathways. While future mechanisms for accessing CGIAR funds are likely to affect partnerships (especially in the context of ONE CGIAR),⁶⁵ PIM should strive to better understand how collaboration with other CRPs has contributed to its progress toward FPs outcomes.

Recommendation #1.5: Review the extent to which PIM has enhanced the capacity of researchers and research organizations through its policy outcomes and innovation (*what*) and the key factors that enabled or constrained results (*how*). While there is no strategic capacity development framework to guide a consistent approach across the system, this exercise should be based on the review and use of the systemic capacity development cross-cutting marker scores and—like the review carried out by FP6 on gender research—should contribute annually to a body of knowledge. This review could also inform how PIM’s integrative model can contribute to future CGIAR projects’ capacity-development delivery mechanisms.

⁶³ S. Hagblade, S. Babu, S. Hendriks, D. Mather, & D. Resnick. (2017). *What drives policy change? Evidence from six empirical applications of the Kaleidoscope Model*. Policy Research Brief 31. Feed the Future Innovation Lab for Food Security Policy.

⁶⁴ CGIAR - IEA (2017), Evaluation of Partnerships in CGIAR. Independent Evaluation Arrangement (IEA) of CGIAR.

⁶⁵ This information comes from a PIM “extended team” and Independent Steering Committee meeting in October 2019.

Recommendation #1.6: Carry out a thorough reflection on the balance between scientific and public outreach in relation to PIM's partnership approach to achieving policy change, institutional innovation, and capacity development. Consider strengthening the capacity of the communication teams that support PIM researchers to reach out to audiences beyond the scientific community.

3.2 CGIAR System-Level Recommendations

The following are recommendations drawn from our review that seem relevant to other CRPs and thus to CGIAR as a whole.

Recommendation #2.1: Maintain the focus on policy and institutional change for sustainable and inclusive agricultural transformation. PIM has made good progress on three common outcomes across its FPs: (1) strengthening the capacity of its institutional partners and that of poor and vulnerable groups as well as communities of practice in its key policy research areas, (2) promoting more gender-equitable control of assets and resources, and (3) informing policy decision-making and innovation. It has developed integrated research partnerships and approaches and methods for involving stakeholders at the national and global level, and to a lesser extent at the regional level. Maintaining its focus requires recognizing that PIM is defined as much by its research as it is by its way of approaching and involving external stakeholders.

Recommendation #2.2: Improve the balance between W1/2 and W3/bilateral funding in favor of longer-term, strategic partnerships that ensure funding of PIM research over longer periods to secure in-country outcomes. Effective partnerships with external stakeholders for policy and institutional innovation can only be forged over time, as “trust arrives on foot but leaves on horseback.” Depending on context and orientation, integration with country programs led by IFPRI or other CGIAR Centers can be empowering.

Recommendation #2.3: Intensify and further develop the emerging field of research concerned with stakeholder involvement, policy influence, and promotion of institutional change. PIM’s strength in political economy analysis, as well as the past research and evaluations of PIM/IFPRI efforts in collaboration with other CGIAR Centers, place PIM in a good position to develop applied research, critical self-reflection, and collaborative learning on these critical issues.

Recommendation #2.4: Align outputs, milestones, and outcomes with desired impacts by using theories of change more effectively. Currently, it proves difficult to track progress toward outcomes as the theory of change does not make the links between result levels explicit. PIM’s use of the theory of change and impact pathways seems “more formal than strategic.” Without such logic, coupled with strong narratives and specific assumptions to make it explicit, the theory of change cannot be used to its full potential to inspire—besides accountability—critical reflection and joint learning from activities implemented by the program.

PIM would benefit from a conscious effort of CGIAR reverse planning, starting by identifying which of the overall CGIAR impact areas it is going to address and how, through which outcomes, outputs, and activities, specifying approach and method, including assumptions underlying success, each step of the way. More in-depth reflection on the fact that PIM’s next users are not the end users would be helpful in CGIAR strategic results frameworks. Dedicated support from the SMO in this exercise would be welcomed.

Recommendation #2.5: Redesign and streamline the programming, monitoring, and reporting systems. Currently, different systems are used for monitoring and reporting, partly in parallel. This causes reporting to be cumbersome and overly complex. At the same time, it severely limits the use of collected data and narratives for management and learning purposes. Simplifying and streamlining existing systems, including MARLO, can significantly reduce the administrative burden of reporting as well as enhancing its relevance to program and knowledge management.

Annexes are available here:
bit.ly/PIM-CRP2020-Annex

A 2-page brief is available here:
bit.ly/PIM-CRP2020-Brief



Advisory
Services

CGIAR Advisory Services (CAS) Secretariat
Via dei Tre Denari, 472/a, Maccarese (Fiumicino), Italy
tel: (39) 06 61181 - email: cis@cgiar.org
<https://cis.cgiar.org/>