

## ISPC Assessment of the Policies, Institutions and Markets (PIM) CRP-II revised proposal (2017-2022)

### ISPC CRP RATING<sup>1</sup>: A-

#### 1. Summary

- The CRP Phase 2 proposal on Policies, Institutions, and Markets (PIM) aims at strengthening the evidentiary base for better policies, stronger institutions, and well-functioning markets. PIM aims to assist 10 million farm households in adopting improved varieties, breeds or trees, and/or improved management practices, 3.4 million people exiting poverty, in restoring 2.05 million ha of degraded lands and improving the rate of yield increase by 1.07 percent<sup>2</sup>.
- The key public goods targeted by PIM's research include high-quality publications, new tools and methods, open-access datasets, improved design of development programs, options for policy reforms, and proposals to strengthen institutions. The expected users are governments at all levels, researchers, development practitioners, funding agencies, private sector firms, and the media.
- PIM has much to offer the CGIAR in terms of delivering on important System level IDOs. The CRP proposal builds on the largely successful efforts made under Phase 1. The scientific leadership and CRP management structure and personnel are strong, with excellent track records of publications and achievement. PIM actively engages an impressive set of external partnerships. Modelling and analytical expertise is strong across a number of disciplines and leadership in gender related issues and analysis is notable.
- The challenges related to overcoming poor policies and institutions are fundamentally important to address if the CGIAR SLOs are to be achieved. PIM's major policy-level impacts will come from influencing global agendas and policies, sharing tools and datasets, testing innovations, and raising the bar on research quality via capacity building and communities of practice. These are reasonable target outcomes.
- As an iCRP, much of PIM's impact should derive from contributing to the success of other CRPs, e.g. on topics such as value chains, seed systems development, livelihoods, and improve diets. PIM needs a stronger commitment to this vision and to embrace a more participatory approach to cross-CRP research priority-setting and prioritization of system-wide collaborative efforts. This could be better informed by PIM undertaking a systematic analysis of its comparative advantage to help sharpen its own strategic focus. Though internal linkages and complementarities do exist within PIM, strategic inter-dependencies between FPs, i.e., showing the relationships between FP-level outputs, outcome and program-level outcomes, are not strikingly evident.
- The revised and expanded ToCs and IPs provide clear and reasonable formulations including some of the key assumptions and risks inherent in achieving targeted outcomes. Elaboration and development of testable strategic research hypotheses overarching each FP would help prioritize the most critical bottlenecks and identify where research and research related activities are most likely to effect change.

<sup>1</sup> A+: Outstanding - of the highest quality, at the forefront of research in the field (fully evolved, exceeds expectations; recommended unconditionally).

A: Excellent – high quality research and a strongly compelling proposal that is at an advanced stage of evolution as a CRP, with strong leadership which can be relied on to continue making improvements.

A-: Very good – a sound and compelling proposal displaying high quality research and drawing on established areas of strength, which could benefit from a more forward-looking vision.

B+: Good – a sound research proposal but one which is largely framed by 'business as usual' and is deficient in some key aspects of a CRP that can contribute to System-wide SLOs.

B: Fair – Elements of a sound proposal but has one or more serious flaws rendering it uncompetitive; not recommended without significant change.

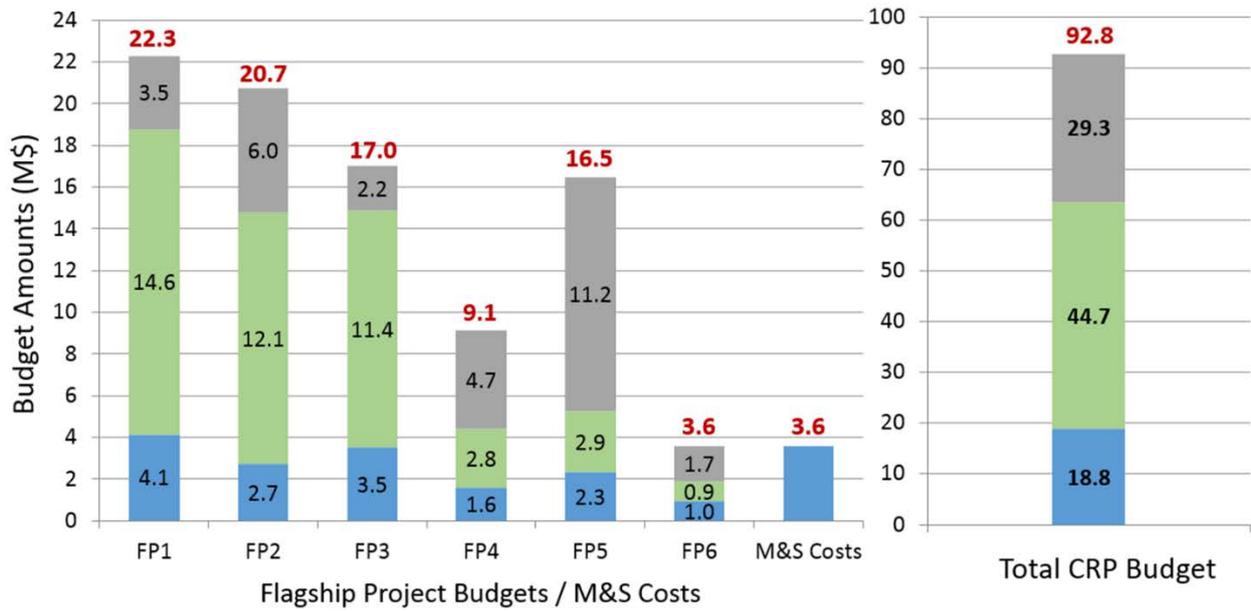
C: Unsatisfactory – Does not make an effective case for the significance or quality of the proposed research.

<sup>2</sup> The CRP targets have not been independently verified.

### PIM 2017 FP and CRP Budgets:

#### W1/W2 Amounts, W3/Bilateral Amounts & Shortfalls (US\$M)

- Projected 2017 W1/W2 Amounts
- Secured 2017 W3/Bilateral Amounts
- 2017 Budget Amounts not yet Secured
- Figures in red are Total 2017 Budgets Needed*



Data Source: CGIAR System Management Office

## 2. Characterization of Flagships

FP	Main strengths	Weaknesses/Risks	Rating
<p><b><i>FP1: Technological Innovation and Sustainable Intensification</i></b>            FP1 seeks to contribute to the CRP objective of agricultural growth and sustainability by assessing alternative scenarios for future food security, analysing technological solutions to address various challenges and examining public policies and investments in science and innovation.</p>	<ul style="list-style-type: none"> <li>• Frontier level modelling skills providing highly relevant (to the System) medium and long term perspective in foresight Expertise in science policy, e.g., ASTI, generating clear and well-defined IPGs at low cost.</li> <li>• Policy dimensions of technology adoption complementary to AFS CRPs.</li> </ul>	<ul style="list-style-type: none"> <li>• Relatively new body of work on technology adoption (and alternative suppliers), so limited experience and track record.</li> <li>• Insufficient effort to-date to validate models and to strengthen their predictive value.</li> </ul>	Strong
<p><b><i>FP2: Economy-wide Factors Affecting Agricultural Growth and Rural Transformation</i></b>            FP2 examines how economic transformation affects key parameters of agricultural development and particularly the implications for job creation for youth, with a focus on sub-Saharan Africa.</p>	<ul style="list-style-type: none"> <li>• Interdisciplinary team with strong record of peer-reviewed publications in high impact journals and widely used toolkits of national economy-wide models and datasets.</li> <li>• Good (effective) upstream and downstream partners.</li> <li>• Strong commitment to institutional strengthening.</li> </ul>	<ul style="list-style-type: none"> <li>• Engagement strategy of CRP may not be sufficient to achieve desired adoption of tools and findings for policy-makers.</li> <li>• Specific nature of the FP 2's linkage with Country Strategy Support Program needs greater transparency.</li> </ul>	Strong
<p><b><i>FP3: Inclusive and Efficient Value Chains</i></b>            FP3 focusses its research on improving the efficiency and equity of agricultural value chains.</p>	<ul style="list-style-type: none"> <li>• Global/regional trade models recognized for quality and experience with measures of distortions in agricultural markets, and perspectives on data and methods used by others.</li> <li>• Strong research team with expertise and tools for evaluation of value chain intervention.</li> <li>• Relevance of work on gender, youth, and capacity development.</li> <li>• Explicitly recognizes need for linking more closely with other FPs.</li> </ul>	<ul style="list-style-type: none"> <li>• Lacks a 'nutrition perspective' with respect to added-value of value chains at local and domestic levels.</li> <li>• Challenge exists to establish effective collaboration with other CRPs due to weak social science research capacity across the System.</li> </ul>	Strong

FP	Main strengths	Weaknesses/Risks	Rating
<p><b><i>FP4: Social Protection for Agriculture and Resilience</i></b>            FP4 on social protection and financial inclusion explores the trade-offs between assistance to the poor and investments in growth.</p>	<ul style="list-style-type: none"> <li>• Examines a highly relevant topic for the CGIAR: how social protection programs can complement agricultural growth and rural transformation.</li> <li>• Very strong research team; distinguished record of publications and policy influence; researchers recognized as leaders in the field.</li> <li>• Long standing partnerships with social protection funders and implementers.</li> </ul>	<ul style="list-style-type: none"> <li>• Case made for establishing the relevance of this work in terms of delivering on SLOs less compelling than other FPs.</li> <li>• There is a risk that the comparative advantage of IFPRI on studying influence of social protection on agriculture could be lost if research agenda broadens to looking at social protection per se.</li> </ul>	Moderate
<p><b><i>FP5: Governance of Natural Resources</i></b>            FP5 focusses on the governance of natural resources within the context of agricultural growth and development.</p>	<ul style="list-style-type: none"> <li>• Long-standing history in institutions for NRM (especially through CAPRI) producing tools and lessons relevant for other CRPs on a highly relevant topic – NRM management.</li> <li>• Strong multi-disciplinary research team with participation from other CG centers.</li> <li>• Long standing partnerships with global, regional and national organizations in land tenure and common property.</li> </ul>	<ul style="list-style-type: none"> <li>• Further specifics are needed on prioritization of research topics at sub-national level regarding governance processes and institutional effectiveness for policy implementation.</li> <li>• Risk of researchers seen as parties to a political process, thus not objective.</li> <li>• Vision of how governance research will contribute to research outcomes across other agro-food system CRPs not clear.</li> </ul>	Strong
<p><b><i>FP6: Cross-cutting Gender Research and Coordination</i></b>            FP6 focuses on the gender dimensions of agricultural and related activities by designing tools and methods for broader application, establishing priorities within PIM's gender research agenda and drawing together separate</p>	<ul style="list-style-type: none"> <li>• Strong quantitative skills for understanding gender roles and effects of interventions with a clear comparative advantage.</li> <li>• Track record in development of tools, e.g., Women's Empowerment in Agriculture Index, and collecting sex-disaggregated data</li> </ul>	<ul style="list-style-type: none"> <li>• Further validation needed of WEAI and similar indices".</li> <li>• Stronger articulation needed on how FP6 supports delivery of outputs across the CRP's other FPs.</li> </ul>	Strong

<b>FP</b>	<b>Main strengths</b>	<b>Weaknesses/Risks</b>	<b>Rating</b>
<p>research strands to clarify implications for agricultural productivity. It houses the Gender Platform, which aims to strengthen the capacity of gender analysis across the CGIAR and develop frameworks for research.</p>	<p>which are expected to have indirect effects on many IDOs.</p> <ul style="list-style-type: none"> <li>• Home for the CGIAR Gender Platform (important for work of other Centers and CRPs) and partnership with national and global research organizations, aid agencies, IFIs, NGOs, and foundations.</li> </ul>		

### 3. Assessment of CRP response to the ISPC major comments

Initial ISPC comment (16 June 2016)	CRP response/changes proposed (31 July)	ISPC assessment (14 September)
<p>1. Develop and initiate a plan to engage in a critical analysis of PIM’s comparative advantage that enhances the proposal’s strategic focus and its particular contribution to the delivery of the SRF.</p>	<p>A 3-fold definition of comparative advantage (expertise, contribution to SLOs and “unique perspective”) is given and how it relates to PIM described on pp 33-35 (Table 1.0.8.1).</p> <p>PIM restates and continues to emphasize its considerable qualifications.</p> <p>PIM indicates that it ‘continuously reflects’ on its comparative advantage, e.g., June 2016 CRP Directors mtg.</p>	<p><b>Partially addressed.</b></p> <p>While PIM’s considerable qualifications (including unique perspective) are apparent and highly relevant to the issue, a critical comparative analysis of PIM vis-à-vis other alternative providers (e.g., World Bank, universities) is missing.</p> <p>‘Continuous reflection’ is useful, but it is not the same as undertaking an explicit ‘critical analysis of PIM’s comparative advantage’ to consider what its strategic focus should be – important both for PIM <u>and</u> the System.</p>
<p><b>2. Strengthen the overall coherence of the CRP through identification and strengthening of the functional linkages among the FPs.</b></p>	<p>Argues that integration from PIM FPs to other CRPs is at least as important (perhaps more) as cross-FP integration within PIM.</p> <p>As for the specific intra-CRP related concern, the revised CRP proposal now includes a conceptual framework (p. 28) and description of linkages between PIM FPs. Other examples of linkages between FPs are highlighted within the FP narratives.</p> <p>Seven specific examples of cross CoA/cross FP interactions are highlighted in the Addendum that are also mentioned in the FP narratives.</p> <p>Fig 1.0.3.2 (p. 16) shows how different topics fit together. Fig 1.0.7.1 (p. 31) provides a specific example (Ethiopia) of how these processes play out in reality.</p>	<p><b>Partially addressed.</b></p> <p>Response reasonably convincing regarding the greater importance of cross-CRP linkages, especially for FPs 1, 3, 5, 6. These FPs are largely independent of each other and their coherence comes from their roles vis-à-vis the entire CGIAR portfolio (where it seems fairly clear that these are unique and important in a CGIAR context)</p> <p>Neither PIM’s conceptual framework (Fig 1.0.6.2 on p. 28) nor the brief descriptions of linkages demonstrate how the activities within FPs actually work together (and why) and how they complement one another to achieve outcomes. More could have been done to explain the most important inter-dependencies between these FPs, showing the relationships</p>

Initial ISPC comment (16 June 2016)	CRP response/changes proposed (31 July)	ISPC assessment (14 September)
		<p>between FP-level outputs, outcome and program-level outcomes.</p> <p>The bigger picture of cross FP integration within this CRP is still not apparent, i.e., how all the pieces fit together in a coherent program of work.</p>
<p>3. Define a strategy for more effectively integrating social science and policy research across the CRPs to maximize synergies, elaborating how PIM will engage with and leverage the efforts of other CRPs to achieve System-level objectives.</p>	<p>3 new figures give examples of how PIM integrates with other CRPs for specific topics / within specific countries on shared agendas of social science research. Narrative describes 5 on-going or planned activities to strengthen integration: (i) continued discussion with CRP leaders to identify collaborative social science agendas; (ii) communities of practice (CoP) centered on FP1, FP3, FP5 and (iii) country-level collaboration, for example through CSSPs; (iv) FP6, the platform for gender research, which also may be viewed as a CoP; (v) an annual social science conference.</p> <p>Except for FP6, all FP narratives have been updated to provide detail on social science interactions with other CRPs.</p> <p>Addendum explains that the integration of social science and policy research across the CRPs takes place at the portfolio level, as different programs jointly contribute to outcomes.</p>	<p><b>Satisfactorily addressed.</b></p> <p>Building and nurturing COPs would seem to be a reasonable approach within an overall social science &amp; policy research integrating strategy.</p> <p>Reassuring to see many examples of cross CRP interactions highlighted in the PIM FP narratives (although specific nature of the collaboration cannot be ascertained in those brief descriptions.).</p> <p>In the absence of any portfolio level mechanism, the claim that “integration of social science and policy research takes place at the portfolio level” must be viewed as an aspirational statement rather than a strategy.</p>
<p>4. Provide further articulation of the Theory of Change at the program and FP levels specifying the underlying assumptions and impact pathways that recognize the complexities of achieving policy and institutional change.</p> <p>Particular concern was expressed by ISPC regarding: lack of discussion of</p>	<p>“The sections of the ToC at the program and flagship level have been revised. The presentation of the flagship theories of change have been aligned with the general program ToC, and assumptions are now more explicitly covered in each flagship.”</p> <p>This includes a number of new figures (Fig 1.0.3.1, 1.0.3.2, 1.0.3.3) to better illustrate ToC and IPs.</p>	<p><b>Satisfactorily addressed.</b></p> <p>The revised and expanded ToCs and IPs (with new figures) are now better formulations that include some of the key assumptions. A real effort has been made to recognize the complexities of the political and institutional processes underlying policy changes.</p>

<b>Initial ISPC comment (16 June 2016)</b>	<b>CRP response/changes proposed (31 July)</b>	<b>ISPC assessment (14 September)</b>
<p>complexities of policy and institutional processes and lack of explicit statements of assumptions.</p>		<p>Good qualitative statements of assumptions and risks.</p> <p>Elaboration and characterization of the key bottlenecks and identification of where research and research related activities are most likely to effect change would be useful to add to the ToCs.</p>