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Final Report

Evaluation of the Future Agricultures Consortium (FAC):

Final Report

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Submitted by

Upper Quartile

APPENDICES

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APPENDIX 1: TERMS OF REFERENCE

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Terms of Reference

Evaluation of Future Agricultures Consortium (FAC)

1. Overall Purpose

The purpose of the evaluation is to assess the Future Agricultures Consortium (FAC) performance and impact during the period 2008 to 2013. The specific focus of the evaluation is to provide a rigorous and independent assessment of the quality and relevance of FAC's research and research up-take; outcomes and impacts of FAC's research; value for money and organisational management; and to identify lessons and implications for FAC as it moves forward and also for DFID as it looks at future options for commissioning policy research.

2. Background and Context

2.1 Background

FAC was founded in 2005, with initial 3-year funding from DFID. It is co-ordinated by the Institute of Development Studies (IDS) in Sussex and comprises agricultural policy researchers in over a dozen African countries and the UK. The ultimate goal for FAC and other knowledge providers in Africa is to ensure that policy debates and policy formulation are increasingly informed by evidence from policy research.

From the outset FAC was envisaged as a promoter of leading edge knowledge that would contribute in a positive way to agricultural policy debates in Africa, and, ultimately, to rising productivity, increasing incomes, and growth in African agriculture. Facilitating the exchange of ideas based on rigorous research is a key attribute of FAC, as well as gaining a better understanding of the pathways by which good ideas get converted into policy decisions. While FAC engages in a great deal of policy research itself across 10 thematic areas, it also acts as a synthesizer of knowledge and a diffuser of findings arising from the research of others. FAC has consistently exceeded expected milestones on production and communication of evidence and policy options around the ten themes.

In 2007, a Mid Term Review (MTR) concluded that FAC had a valuable role to play in the promotion of good agricultural policies in Africa, and that it had identified a contribution that was distinct from the many other players working on productivity and incomes in African agriculture. The review also recommended a closer alliance between FAC and the Comprehensive Africa Agriculture Development Programme (CAADP) processes as a way of shifting the centre of gravity of FAC towards policy initiatives arising from within Africa itself. This included engagement with the Regional Strategic Analysis and Knowledge Support System (ReSAKSS), a knowledge network established in order to inform the CAADP agenda of agriculture-led growth in Africa. Further, the 2007 MTR recommended future core funding for FAC by DFID, arguing that at the modest level of annual funding envisaged, it would be a major distraction for FAC to have to negotiate co-funding from one or more additional donors.

Funding was delayed for some time as DFID shifted FAC's main source of support from the Policy Division to the Research and Evidence Division. A second phase of funding emerged based partly on the MTR recommendations and subsequent discussions, eventually leading to the establishment of a 3-year core programme lasting from April 2010 to March 2013. This programme set three principal objectives of:

(i) producing and communicating research-based evidence across a number of stated policy research themes;

(ii) raising the capacity of junior African researchers to conduct and disseminate policy relevant research; and

(iii) guiding a transition to an African base for FAC, which would become established with secure funding at the end of this phase.

In 2012-13, the Consortium began implementing a regionalisation strategy and established 'Regional Hubs' in East Africa (Kenya), Southern Africa (South Africa) and West Africa (Ghana) to decentralise its coordination efforts and extend its reach.

A second Mid-Term Review was conducted in 2011-12. This recommended that a third phase of FAC (FAC 3) go ahead based on the performance of FAC especially since the 2007 MTR. Specifically, it concluded that:

- FAC had met or exceeded its phase 2 quantitative targets for research outputs;
- the volume of research activity occurring in phase 2 to date was substantial in relation to budgetary resources allocated;
- FAC had demonstrated creativity and agility in its selection of policy relevant research and conference topics, keeping it at the forefront of emerging critical agricultural policy issues in Africa;
- FAC had begun to make relevant connections to the AU/NEPAD process, with scope for building on this over a future funding period.

The 2011-12 MTR also recommended that FAC continue to apply the same approach to policy research themes and topics and indicated that FAC's strengths are widely acknowledged as identifying gaps, bringing neglected topics onto the policy agenda and anticipating future policy issues.

In March 2013, DfID (currently sole funder of FAC) agreed to support the programme for one further year.

2.2 Context

While there are a number of organisations, networks and initiatives working on agricultural policy at national, regional and continental level in Africa, there is an unmet demand for high quality policy research and analysis, and also for fora in which policy options can be debated and evaluated. The flexible and opportunistic FAC approach aims to stimulate mutually beneficial and high quality debate between the different policy research organisations. This approach is perceived to be distinctive and therefore complements those of other organisations undertaking policy research (e.g. IFPRI and the African sub-regional research organisations) and engaging in policy dialogue (e.g. CAADP) in the agriculture sector.

UK support to FAC helps to address this lack of timely and sound evidence needed for good quality decisions in the agricultural sector. This fits with DFID's policy priority to strengthen the evidence base to support better planning, policy and investment by national governments. FAC's work focuses on getting robust evidence to policy and decision makers towards improving policy and promoting agricultural growth and poverty reduction in Africa (the programme's 'purpose').

2.3 Reviews and Other Documents

This evaluation will build on earlier reviews in 2007 and 2011-12 (provided in the final section). Other background documentation includes FAC annual reviews, DFID PCRs, the FAC Outputs Database and website[87].

3. Purpose, Scope and Evaluation Questions

3.1 Purpose

Objectives

The evaluation has three objectives, listed in order of priority:

- To assess the relevance of FAC's policy research work to agricultural policy in Africa;
- To provide DFID with recommendations on commissioning of future agricultural policy research; and

[87] www.future-agricultures.org/

- To assess FAC's performance with respect to the achievement of indicators as outlined in the programme logframe.

The specific areas of focus of the evaluation are:

Quality and relevance of research and research uptake:

- Fit of FAC activities to needs of policy makers and practitioners in a range of settings;
- delivery on the FAC research themes;
- quality and usability of research and research communications outputs and activities;
- effectiveness of gender mainstreaming in addition to the Gender and Social Difference research theme;
- thought leadership and contribution to important knowledge gaps: and,
- process for research agenda setting and management of research, including work with networks and Southern partners.

Outcomes and impacts, encompassing

- Intended and unintended, positive and negative outcomes and impacts; and,
- Logframe (output, impact/purpose) and non-logframe elements.

Value for money and organisational management

- Cost-effectiveness; and
- Organisational management and response to risks and external environment.

Lessons and implications, providing

- insights on how FAC could strengthen quality and relevance of research, enhance policy impacts and, if deemed necessary, boost value for money;
- insights on how DFID could increase the effectiveness of agricultural policy research work.

3.2 Scope

The scope of this evaluation covers the period of FAC funding from April 2008 – December 2013. However, where necessary reference may be made to previous (from 2005) and subsequent (until 2014) funding periods. Previous reviews have clearly demonstrated the quantity and quality of FAC's output in terms of publications, policy briefings and other materials. This evaluation should focus more on the outcomes, impacts and value of FAC.

3.3 Evaluation Questions

Building on the previous reviews of FAC, the primary evaluation questions are:

A. How effectively has FAC delivered its research and uptake strategies, referring specifically to outcomes, engagement of Southern researchers & perspectives, and mainstreaming gender?

   The relevance and quality of research focal areas and outputs should be considered. The process for research agenda setting and involvement and engagement with other actors should be analysed. Identification and selection of researchers, joint implementation of projects with research partners or networks, quality assurance mechanisms should be evaluated with regard to appropriateness, transparency and effectiveness. The integration of gender in research planning, design, implementation, and uptake should be assessed as well as leadership in the field of gender and development.

   Uptake includes the quality of its diverse and multi-media products (policy briefs, social media etc), and the use and applicability of these products by different stakeholders. Efforts should be made to engage a range of users and stakeholders within the international agencies, academics, national governments and civil society in the North and South on their use and perception of products.

B. What have been the intended, unintended, positive and negative outcomes and impacts of FAC research? This may include for example:

(1) changes in or influence on policies or practice at the regional or national level, donor organisations, academia, civil society or other institutions;

(2) changes in conceptual thinking on issues of agriculture;

(3) capacity building; or

(4) other.

It is expected that the evaluators will document the extent of FAC contributions to outcome/impact pathways for some specific thematic areas. Attention should be paid to both intended and unintended impacts – both positive and negative - and the evaluation should not be constrained by the identified areas of focus or intent.

Acknowledging the breadth of FAC research themes, the approach to assessing outcomes and impacts is not expected to be comprehensive. The evaluators can be selective, but should use rigorous methodology(ies) for both selection and assessment of themes.

Other potential evaluation questions include:

1. To what extent FAC (and others) have demonstrated that evidence based policy making occurs in African agricultural policy?

2. What role has FAC played in providing thought leadership and contributing research on important knowledge gaps?

3. To what extent did FAC performance and delivery provide Value for Money?[88]

4. What are key insights on how FAC may strengthen quality and relevance of its research, enhance impacts and boost value for money?

5. Has FAC implemented the recommendations of previous reviews?

These questions can be fine-tuned and/or extended during the inception phase, potentially drawing upon a programme Theory of Change (see below)

3.4 Users and audience of evaluation

The main users of the evaluation are DFID and FAC. It is expected that the findings of the evaluation will also deliver insights on FAC's achievement and challenges encountered. The target audience for this evaluation includes:

- DFID-FAC Reference Group.
- DFID Agricultural Research and Food and Nutrition Security Teams.
- FAC Leadership Team
- Other donors who may be interested in investing in FAC and/or related programmes.

[88] The United Kingdom National Audit Office defines value for money (vfm) as being "the optimal use of resources to achieve intended outcomes". Value for money involves maximising the impact of each pound spent which ultimate lead to improving people's lives. This may include criteria that were used to assess value for money of core contributions to multilateral organisations in the UK Multilateral Aid Review (see http://www.dfid.gov.uk/Documents/publications1/mar/multilateral_aid_review.pdf) . This included contributions to UK development objectives and organisational strengths (e.g. good partnership behaviour, transparency and accountability, cost and value consciousness, strong financial resources and strategic and performance management). It may also include assessment of value for money more specific to research institutions such as whether allocation between different activities administration and management, research, research uptake, research co-ordination) appropriate. And if level of costs of activities and programmes, and quality and volume of outputs compare favourably with comparable research organisations (at similar cost).

4. Methodology

Tenderers should spell out as fully as possible the evaluation design and methodology they propose to use, the allied potential risks and challenges for the evaluation and how these will be managed. DFID has not endorsed particular methodology(ies) for the conduct of policy research programme evaluation, but in this case would expect a design that takes a multiple methods approach and systematically triangulates the evidence. Therefore, while we suggest some options below, tenderers are invited to propose an approach and methods which they believe will most effectively and efficiently meet the purpose of the study within the time available. The successful tenderer will then refine this proposal within the first month or so of the contract, in consultation with DFID, FAC and other relevant stakeholders. Please note, though, that we are committed to quality and rigour in line with international good practice in evaluation.

The FAC team are developing Theory of Change (ToC) for the programme to help guide constructive reflection on past performance and future prospects[89]. Tenderers should plan to refine this ToC within the inception phase (ToC), working with FAC and DfID, and consider its use within the evaluation.

The methods and assessment frameworks employed for this evaluation should facilitate the collection and analysis of data, be relevant to the questions outlined in section 3 above, and make optimal use of existing data. The evaluation may need primarily to use retrospective evaluation methodology techniques, although some baseline data does exist in previous reviews/evaluations implemented (as outlined above). Particular attention should be paid to documenting both quantitative and qualitative progress on the areas identified.

Sources that will be used in the evaluation would, at a minimum, include:

- *Document review:* Review of key documents including those outlined in Section 2. A table of key programme and project documents will be prepared by FAC and provided to the evaluator with further assistance available if required. The Evaluation Team may wish to consult key thematic experts to assist in assessing quality of research outputs, though will have noted (above) that this is not to be a major element.
- *Interviews with key partners and users:* Interviews with key stakeholders such as national, regional and international level policy makers (governments, donor and civil society), other researchers and practitioners (farmers, agribusiness). Also interviews with key staff members. These interviews may be done in person if feasible, but most likely by telephone or internet based communication.
- *Participation in regional meetings: Face-to-face meetings*: Face-to-face meetings should be held with key stakeholders in Africa and the UK.
- *Surveys or other data collection methods:* to solicit input from additional stakeholders external to FAC. If surveys are used, these should be rigorously designed with appropriate sampling methods and expectation of acceptably high response rates. Alternative or complementary approaches, such as online discussion fora, could be considered. The evaluator should also consider attending regional meetings of CAADP, NEPAD or the New Alliance to reach a broader cross-section of the target audience of FAC research.
- For VfM assessment, data should primarily be drawn from the administrative reporting systems of FAC, and compare FAC's effectiveness at policy influencing with other similar programmes such as:
    - IFPRI
    - International Growth Centre

[89] A short paper will be shared with shortlisted applicants.

Tenderers may wish to make use of the following online resource, though (to re-iterate) we are seeking a rigorous approach without preconception of the detailed methodology: http://www.ukcds.org.uk/resources/evaluating-the-impact-of-research-programmes

The evaluation should ensure that it adheres to the ethical evaluation policies of DFID and the evaluation principals of accuracy and credibility.

5. Timetable and Milestones

Please propose a detailed timetable, having regard to the following:

Primary Activity	**Deadline**
Evaluators selected and contracts put in place.	January 2014
Inception Report Submitted to Management Group Approach should be finalised in consultation with donors and FAC. This Inception Report should include a Theory of Change, suggestions on refinements/amendments of the evaluation questions, the full methodology, implications for the degree to which the evaluation questions can be answered using a credible and robust evidence base, assessment frameworks, identified sources of data and risk management strategy. Plus a communications plan for the evaluation.	Within 6 weeks of contract starting
Management Group provide feedback and approval.	Within 8 weeks of contract starting
Data collection and analysis	
Draft Final report submitted for comment. Report should include (though not necessarily in precisely this structure): 1. Cover page. 2. Table of Contents. 3. Executive Summary: maximum four pages. 4. Purpose of Evaluation. 5. Evaluation approach and methodology. 6. Limitations of evaluation. 7. Response to evaluation questions with supporting evidence. 8. General findings, key messages and potential implications. 9. Annexes – additional supporting evidence as relevant.	
Single presentation to Management Group (and others) to discuss draft findings	
Final Report Final report should take into account comments on the draft report from DfID	31 July 2014 (This is a target date and alternative proposed dates will be considered)

6. Evaluation Outputs

The Evaluation Team will produce the following outputs:

- Inception Report including refinements/amendments of evaluation questions, full methodology, Theory of Change, assessment of which evaluation questions can be answered using a credible and robust evidence base, identified sources of data and risk management strategy, and a communications plan.

- Draft Final Report
- Presentation to Management Group and others
- Final report (50-100) pages with a maximum 4 page Executive Summary) that incorporates feedback obtained on the draft report
- Appendices with details on the methodology, informants, etc.
- A "policy brief" summarising the main findings of the evaluation for circulation to stakeholders.
- Provided there is sufficient documentation, trial a 'quantitative content analysis approach' to assessing the impact of research on policy making.

7. Skills and Qualifications of Evaluation Team

The essential competencies and experience that the Evaluation Team will need to deliver the work are:

- Extensive knowledge of evaluation methods and techniques;
- Strong qualitative and quantitative research skills;
- Good knowledge and understanding of research impact pathways and how research can best impact policy and practice.
- Technical competencies in agriculture, livelihoods and policy engagement.

Desirable competencies and experience are:

- Good knowledge of gender, social and poverty research and analysis
- Good knowledge on assessing value for money
- Strong analysis, report writing and communication skills

Expressions of Interest (EoI) from suitably qualified individuals, organisations and consortia are equally welcome. We would welcome EoI from teams led by or including evaluators from FAC target countries, though this is not a requirement.

8. Evaluation Management Arrangements

The evaluation will be overseen by a Management Group. This group will be responsible for approving the evaluation outputs and commenting on draft reports. The Group will include the following DfID staff:

- Duncan Barker – lead contact, Ben Cattermoul, Andrew Shaw

Liaison will include up to three meetings and two presentations by the evaluators (one to present and discuss the inception report/evaluation plan; and a second for the draft report). These meetings will take place in London, but may involve teleconferencing or video conferencing with Management group members working elsewhere. The evaluation team may use conferencing for the first presentation and most meetings but must budget for attendance of all core members at a minimum of one meeting and one presentation in London.

9. Budget

The estimated expenditure for this work over a minimum of 6 months is £100,000. However, value for money will be a key criterion in selection and the final budget will be agreed with the successful supplier.

APPENDIX 2: DETAILED METHODOLOGY

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EVALUATION METHODOLOGY

Introduction

The evaluation Inception Report (Upper Quartile, 2014) submitted in May 2014 provides a detailed description of the methodology adopted and the rationale for this. This is summarised below.

Methodological approach

Upper Quartile's evaluation design combines elements of both theory-based and case-based approaches. Both of these stem from a *realist perspective*; the recognition that outcomes are affected positively and negatively by the real world context in which they occur (Stern et al, 2012). Realist evaluation recognises the complexity of interventions in the social world and the difficulty of isolating the impact of a single intervention, seeking instead to explore what works, for whom, in what circumstances and why.

In line with realist, theory-based approaches, the evaluation design seeks to test a theory of change (ToC) for the FAC intervention, rigorously examining the causal links in FACs logical chain (from inputs and activities, through to outputs, outcomes and impacts), the assumptions and conditions under which it is assumed that success will be achieved.

As FAC was established prior to the requirement for a DFID ToC, as part of the evaluation inception phase an ex-post theory of change was developed and employed retrospectively to assess FACs performance[90]. This ToC provides a process-based and flexible framework to approach fundamental questions about context, actors, change and strategy. The visual articulation of the ToC is provided in Appendix 3.

Complementing the overarching theory-based approach, the evaluation design incorporates 'studies of the case' (Stern et al, 2012). In most instances these cases are specific 'impact events'[91]. Case-based elements of the evaluation design focus on causal analysis, testing and contributing to the refined ToC (where generalisation of cases is appropriate). This case-based analysis allows in-depth consideration of context. Comparative analysis across cases (at country and/or thematic level) is limited because of the significant contextual differences.

Evaluation questions

The original TOR provided an indicative set of evaluation questions. These were refined, prioritised and agreed with DFID during the evaluation inception phase based on the evaluation team's preliminary desk-based research, key informant interviews and the agreed ToC. Table A2.1 presents the evaluation questions. The prioritised questions (numbers highlighted in blue) were to be answered specifically by the evaluation and other questions were to be addressed where evidence allowed, but acknowledging that it might may not be possible to produce sufficient evidence with the resources available to fully address all of them. The questions are aligned with the OECD-DAC criteria for evaluating development assistance.

[90] The ToC is ex-post in that, for majority of the period being evaluated, FAC did not have an explicit ToC. This ToC therefore builds on the 2010 FAC logframe, FAC's own thinking and experience, and input from the Upper Quartile evaluation team. This version of the ToC is the consensus output of the Evaluation Preparation Workshop facilitated by Upper Quartile for FAC on 9 April 2014. It included opportunities for all of the FAC Team to contribute by email or to participate in person.

[91] The term 'Impact Events' is being used in this evaluation to denote examples of where FAC appear to have made a contribution to stronger influence of evidence, stronger capacity to use evidence and/or the adoption of a policy or practice as explained in the theory of change. An impact event can be time limited, or it can be a process that has been influenced in some way by FAC.

Table A2.1: Evaluation Question			OECD-DAC Criteria
Evaluation objective 1 - To assess the relevance of FAC's policy research and communication work to agricultural policy in Africa			
1	How closely did FAC's research themes, political economy orientation and activities fit the needs of policy makers and practitioners?	Relevance of research and communication	**Relevance**
2	How have a range of organisations used FAC's knowledge products (including social media) and what is their perception of these products?		
3	How effectively has FAC engaged Southern researchers & included their perspectives and with what outcome?		
4	To what extent has FAC contributed new ideas and filled important knowledge gaps?		
5	To what extent has FAC and its partners built sustainable research capacity (particularly in Africa) to engage in policy processes?	Theory-driving understanding of policy influencing	**Impact Sustainability**
6	To what extent has the FAC ToC been shown to be operating in practice: • How have the four elements of FAC interventions in policy processes[92], which were identified in the ToC, contributed individually to the policy process and what has been the synergy between them? • How have the 'Cycles of Engagement and Reflection' between FAC interventions and policy processes worked in practice? • What can FAC tell us about using institutions, contexts, surprises and moments to influence policy processes? • What does FAC experience reveal about how to design, monitor and manage research in ways that creates and sustains space to work with emergent properties and entry points in policy processes?		**Effectiveness**
7	Has FAC worked effectively with other actors and networks?	Lessons and implications	**Effectiveness**
8	In what ways has FAC shown that evidence is used in African Policy making?		
9	What can be learnt from the recommendations from previous reviews?		
10	Was the focus on CAADP, as an important user of evidence and influencer of national and regional policy and practice, appropriate and what lessons can be learnt from it?		
Objective 2 - To provide DFID with lessons from FAC experience to inform commissioning of future agricultural policy research			
11	What are the insights from FAC on how DFID could increase the effectiveness of agricultural policy research work?	Lessons and implications	**Effectiveness**
12	What was the value added of creating, funding and then decentralising FAC as a consortium?		**Efficiency**
13	How effective was DFID support to FAC and what lessons can be learnt from this?		**Effectiveness**
Objective 3 - To assess FAC's performance with respect to achievement of logframe indicators			
14	To what extent has FAC achieved its expected Outcomes and Impact?	Outcomes & impacts	**Impact**
15	What are the outcomes from gender and social difference mainstreaming?		**Impact**
16	What have been the unintended, positive and negative outcomes and impacts and what lessons can be learnt from them?	Unintended	**Impact**
17	What are key insights on how FAC could strengthen its outcome and impact and boost its VfM?	VfM	**Efficiency Impact**

[92] 1. Direct engagement by individual FAC members and teams; 2. Identification & creation of fora for dialogue and debate; 3. Production and communication of FAC knowledge products and services; 4. Encouraging others to be catalysts in policy debates and alliances.

Evaluation methods

FAC is a complex programme with a wide variety of themes, interventions, outcomes and impacts. As a result various information and data collection methods were required to address the evaluation questions. The ToC provides the unifying framework with which the diverse sources of information gathered through the evaluation process have been organised, analysed and interpreted.

The evaluation design employs mixed qualitative and quantitative methods, combining desk-based secondary data with desk and field-based primary data collection and analysis. These methods were agreed in the evaluation Inception Report (Upper Quartile, 2014) and are summarised below.

Secondary data collection and analysis

Document review: The evaluation began with a comprehensive review of FAC documentation including FAC concept proposals, logframes, annual and semi-annual reports, Mid-Term Reviews, impact stories, the Project Completion Review and documentation relating to the establishment of FAC Africa. Selected non-FAC documents relevant to broad agricultural policy context were also reviewed. The review considered, at programme level, the policy context at the start of FAC's intervention, the rationale for FAC intervention and the selection of themes and activity areas, the organisational and management structures in place, progress and achievements of FAC against output and activity targets and the evolution of FAC over time. In addition, thematic and country specific documentation (including FAC published outputs and social media) were reviewed as part of the in-depth investigation of specific 'impact events' (cases).

Quantitative data review: FAC holds a variety of quantitative data that has informed the evaluation. This includes a comprehensive Output Database (MS Excel) documenting all of FACs formal outputs since its inception. Data on document downloads, website usage and other social media activity (twitter, Facebook, slideshare etc.) is collated by FACs communications function and detailed project budgets (charting projected and actual expenditure) are available from FACs financial controller. The evaluation team carried out quantitative analysis on this data to assess FACs activities and outputs, the success of FAC in communicating and disseminating their research (viewed as an indicator of influence) and to consider the Value for Money (VfM) offered by FAC.

Quantitative content analysis: In the drive to bring innovation and add value to the evaluation, Upper Quartile (in partnership with Claremont Evaluation Center (GEC)) undertook an experimental Quantitative Content Analysis (QCA)[93]. The purpose was two-fold 1). to identify and assess the impact FAC research on policy framing and policy narratives and 2). to assess the efficacy of this method for evaluating policy influence.

As this was an experimental approach, the decision was to trial the QCA method in Malawi only. Malawi was selected due to the availability of English language policy documentation, the duration and scale of FAC intervention in Malawi.

The QCA involved 361 documents: 30 internal FAC documents and 331 publicly available documents (including national and regional policy documents, policy statements and media sources). These were coded by the team from CEC to reflect key themes/ sub-themes of FAC work in Malawi. Code books were developed by CEC and validated by FAC. The QCA addressed five research questions related to but distinct from the overarching evaluation questions (primarily EQ 14 and 15).

1. To what extent are FAC themes reflected in their own (FAC) materials?
2. To what extent are FAC themes reflected in Malawian policy documents?
3. Which document types and sources are most likely to reflect FAC themes?
4. Has this changed (increased) over the life of the programme?
5. What factors predict greater integration of FAC themes into policy documentation?

[93] Quantitative Content Analysis is a methodology for structuring written material that allows researchers to analyse trends and make valid inferences (GAO, 1996). It is commonly used to determine the relative emphasis placed on issues in the mass media and to study trends in communication over time (Crano & Brewer, 2002).

The full QCA report (including the sampling strategy and analysis) is provided as Appendix 4.

Primary data collection and analysis

Key informant interviews: The evaluation team conducted an extensive programme of semi-structured Key Informant Interviews (KIIs) in the UK and in Africa. Key informants included the core team of the FAC Secretariat based at IDS, their counterparts in FAC Africa regional hubs and FAC Theme Convenors. KIIs were also conducted with a range of stakeholders from within DFID including current and previous programme managers and thematic advisors. The interviews also informed the production of Topic Guides for each of the Impact Events explored through the Rapid Outcome Assessments (see below).

The format of KIIs varied depending on individual's availability and logistical considerations. Individual, small group, face-to-face, telephone, skype and email formats were all employed to maximise opportunities for participation. A full list of Key Informants is included in Appendix 5.

Online surveys: The evaluation team conducted two separate online surveys. The surveys were disseminated via Surveymonkey©. The surveys involved:

- ***Knowledge Product Users:*** This survey was sent to a total of 2,387[94] individuals who opted to receive information from FAC via their newsletter. The survey explored which FAC products/ outputs respondents are aware of and make use of, why they choose to engage with FAC, what their views are on the relevance, quality and timeliness of FAC outputs and any impact as a result of FAC on their knowledge, attitudes and practice in relation to African Agriculture. The survey response rate is shown in Table A2.2. The limitations of the survey data are discussed subsequently. The Knowledge Product User Survey is provided at Appendix 6.

Table A2.2: Knowledge Product User Survey			
Valid contacts	2,387		
Opted-out	11		
Responded	284	Partial 65	Complete 219
Response Rate [fully complete]	9.17%		

- ***Personal Professional Development Survey:*** A second online survey was disseminated to FAC members (including early career fellows, small research grant recipients, lead and co-researchers). The overarching aim of the survey was to assess the effectiveness of support provided by FAC, the value added to members as a result of engagement with FAC (in terms of capacity development and career trajectory) and the extent of policy engagement among FAC members. The survey tested key elements of the FAC theory of change, specifically that FAC contributes to more sustainable capacity to engage in policy processes and supports the next generation of African researchers. Quantitative analysis of survey findings was undertaken in MS Excel and analysis of qualitative responses in NVivo10. The qualitative analysis followed the following steps:
    - Defining the set of analytical themes or issues of interest;
    - Input of relevant open-responses from the researcher survey into NVivo 10;
    - Coding of additional themes and issues on the fly (NVivo coding) by review of relevant survey open-responses;
    - Generation of a list of coded responses corresponding to passages of text in survey results;
    - Review of the list and recombination into core, or related issues; and
    - Analysis of the coded text to identify the most important factors informing the study questions.

[94] FACs mailing list contained 2,423 email addresses. After cleaning to identify and remove undeliverable and duplicate addresses, the valid survey population was 2,387.

The approach is a systematic and rigorous process that complements quantitative survey data by exploring in greater detail issues that have been brought to the fore. The survey achieved 79 responses from a distribution list of 136 valid contacts[95].

Table A2.3 summarises the response rate from grantees and researchers. The limitations of the survey data are discussed subsequently. The Personal Professional Development Survey is provided at Appendix 7.

Table A2.3:	Total valid contacts	Survey response rate	
FAC Grant recipients	57	48	84%
FAC lead/ co-researchers	79	39	49%
Total response	136	79*[96]	58%

*8 respondents identified themselves as both grantees and researchers.

RAPID Outcome Assessment: The core evaluation method for primary data collection was based on RAPID Outcome Assessment (ROA)[97]; an approach developed by the Overseas Development Institute (ODI) drawing on various methodologies (including Outcome Mapping, Episode Studies and Most Significant Change) to assess and map the contribution of a project's actions and outputs to change at policy level. ROA considers how human beings relate to one another and how they work within, and react to the many and varying factors within their operating environment. The ROA approach involved four sequential steps:

- **Step 1: Orientation and focus:** During the inception phase the evaluation team orientated themselves to FAC's overall activities, outputs, outcomes, the external policy environment and influencing factors present during its operation[98]. This facilitated selection of a sample of 'impact events' (or cases) to form the basis of the ROA. The sample frame is discussed subsequently.
- **Step 2: Background research and preparation:** The desk-based review of FAC documents and interviews with FAC staff were used to create a Topic Guide to inform Step 3 (Outcome Mapping) which identified (for each strand of the sample):
  - The way FAC agreed research topics with national governments and regional organisations;
  - How FAC identified and worked with research partners and networks;
  - The strategies employed to communicate research outputs;
  - The key actors – individuals and institutions – with whom FAC interacted/ wished to influence;
  - The key events and processes that FAC engaged with and created; and
  - The key behaviours, behaviour changes and markers of success that FAC sought.
- **Step 3: Outcome mapping:** The evaluation team worked with key in-country contacts to set a programme for fieldwork visits (and for one global impact event, the Land Deal Politics Initiative, remote interviews). The composition of fieldwork interviews varied depending on the nature of the 'impact event' considered (a full list of interviewees is provided in Appendix 5) but in all cases followed a semi-structured interview reflecting the EQs (see the full set of questions at the end of this section). This brought both consistency (allowing data to be captured accurately and aggregated consistently) and flexibility (for interviewees to discuss issues that were particularly

[95] Data cleansing removed a number of broken/ unavailable email addresses from the distribution list. We have also excluded those contacts who participated extensively in qualitative aspects of the research in preference to completing the survey, those were unavailable to take part for the duration of the survey due to, for example annual leave, sick leave, maternity leave, sabbatical etc and those who claimed to have had no contact with FAC and were unable to comment (two recipients of LDPI grants).

[96] Overall margin of error +/- 7.16 at the 95% confidence level for a percentage =50 (i.e. the widest confidence interval/ margin of error.

[97] Rapid Outcome Assessment is an approach developed by the Overseas Development Institute. See Rapid Outcome Assessment Toolkit (2012), ODI, London: http://www.odi.org.uk/publications/6800-rapid-outcome-assessment

pertinent to them and their role). Building on ROA step 2, the evaluation team produced tailored semi-structured topic guides (based on pre-existing information about FAC and its activities) to guide interviews with relevant role players. Interviews identified behavioural changes in key actors and built a visual map of influences for each 'impact event'. Each of these Outcome Maps contains the following:

- The policy environment at the start and end of the period;
- Key actor groups (e.g. Civil society Organisations, Donors, Government);
- Characteristics of actors' behaviour at a start point in the policy process and now;
- The timeline;
- Key behaviour changes along the timeline;
- Key FAC activities/changes along the timeline;
- External influences (events, influences, trends, shock) along the timeline;
- How far behaviour changes effected gender and other forms of exclusion;
- The links / influences between the actors' behaviour changes and the identified events, including FAC activities, external influences and other actors' behaviour change.

- **Step 4: Analysis in relation to evaluation questions and the theory of change:** Building on Steps 2 and 3, the evaluation team analysed the outcome map and interview responses for each impact event in relation to the evaluation questions and the overarching theory of change to produce a draft impact story for each event.

  The impact case stories (included in full in Appendix 8) describe the contributions of FAC to outcomes as identified by a range of key informants.

Detailed ROA Semi-Structured interview questions

The ROA semi-structured interviews used a common set of questions for all impact events. The questions covered two aspects: behavioural changes (Group A) and more detailed performance issues (Group B). The questions for Group A fed into the Outcome Map and therefore needed to be asked as close to the text as possible. Detailed answers were recorded so they could be aggregated across interviews to build up the map. The questions for Group B could be adapted to best fit the policy theme and the answers recorded in a more summary/ conclusive form.

Group A

1. To what extent do you recognise the impact of FAC's work as described?

   Interview Tip: If the existence of the impact is contested (e.g. it didn't happen as far as the interviewee knows) then continue to explore from the angle of why it didn't happen. If the impact is not recognised but other impacts are mentioned that are closely related then explore to see if FAC influence comes up later in the interview.

2. How would you describe the overall policy environment in the country relating to [policy area] in [Year date at the start of the period covered by the timeline] (e.g. in terms of socio-economic and political policy drivers, influence of evidence, and capacity for political economy thinking)?

   Interview Tip: If their experience does not cover the whole period, reference to dates within it.

3. Who were the key actors (individuals and organisations) involved in this policy area during the period [Year date to Year date for the period being discussed] (e.g. key decision makers, policy entrepreneurs, champions, networks, coalitions and groups).

   Interview Tip: We really want to get interviewees to suggest who they think are the key actors. If they can't think of any use names from the topic guides as prompts

4. For each of the key actors you've named, can you describe their behaviour towards this policy theme back in [Year date at the start of the period covered by the timeline] (e.g. how they related to others and acted on the policy theme – prompts about aspects of the policy theme could include policy agendas, framing, resource allocations, policy content, the way policy is delivered)
5. For each of the key actors you've named, how did these behaviours change, if at all, at which points?
6. FAC has engaged in a wide range of activities on [policy area] including contacts and dialogue by FAC researchers, FAC debates and events, FAC reports, FAC website and social media, and FAC catalysing others to engage in policy debates and alliances. What FAC activities do you recall and when did you notice them?
7. What factors in the wider policy environment did you see contributing to the impact described and when did you notice them (e.g. events, influences, trends, shocks, surprises, windows of opportunity, changes in the rules of the game)?
8. What links do you see between the behaviour changes you mentioned and FAC activities, external influences or actors?

Interview Tip: This is a key question for the outcome maps and so needs to be given sufficient time and support to get answers. You may want to prompt by repeating FAC activities, external influences and actors the interviewee has mentioned in previous answers

Group B

9. How effectively did FAC work with other actors and networks on [policy area]?
10. How far do you believe the impact on [policy area] has had different effects for gender and other social categories (e.g. migrants, youth, disabled, etc?)
11. Have there been any economic or well-being benefits from the impact in this policy area and for who?
12. Is the change described sustainable? If yes, will change continue to happen and in what direction? If no, what further input is required to secure change?
13. Have there been any unexpected policy impacts, positive or negative?
14. Can you give any examples of where you saw FAC adapting its approach to [policy area] in response to feedback on its work, windows of opportunity that emerged due to changes in policy or policy actors?
15. What is your view on the contribution, quality and relevance of the FAC outputs you mentioned?
16. How effectively have FAC activities (e.g. events, publications, etc) addressed gender and social inclusion?
17. What would have happened without FAC, and would that have been more or less effective than with FAC's engagement?

Additional Questions for Academic Interviewees

18. How effectively has FAC engaged with and included the perspectives of Southern researchers?
19. What difference has this made to the relevance of FAC's work?
20. To what extent have FAC and its partners built sustainable research capacity in Africa to engage in policy processes?
21. If you have been directly involved with FAC as a research partner, what was the impact on your career and what would have happened if you hadn't been involved in FAC?

Selection of impact events for the ROA

The selection of 'impact events' to analyse in more detail through ROA was a critical to the validity and achievability of the evaluation. A two step selection process was used, with an initial selection of themes and then, within the selected themes, selection of 'impact events' in specific countries. The full sampling criteria and logic for the selection is described in detail in the evaluation Inception Report.

Table A2.4, outlines the final selection of 'impact events' which form the basis of the evaluation. It should be noted that the evaluation team oversampled at the inception stage ensuring sufficient breadth and depth in the sample that some 'impact events' could be dropped if investigation proved not to be fruitful for a variety of reasons. The evaluation involved primary data collection in five countries; the **UK, Ethiopia, Kenya, Malawi and South Africa.**

Table A2.4: Final selection of impact events

Impact event Study	Impact to be assessed	Country	Themes*
1. Co-founding the Land Deal Politics Initiative in 2010 as a global research network	Impact of LDPI	Global	Land
2. Institutionalisation of Kenya Arid and Semi-arid Lands (ASAL) Policy Gains	FAC contribution to policies of the Ministry of Northern Kenya and other Arid Lands and its institutionalisation after the Ministry was discontinued	Kenya	Pastoralism, Policy Processes
3. FAC providing evidence for civil society led advocacy in Malawi	FAC influence on advocacy capacity of three CSOs and their resulting influence on FISP, CAADP, Agricultural Policy and Community Land Policy	Malawi	Policy processes
4. Improvements to implementation and maintained donor support for Malawi Farm Input Support Programme (FISP)	FAC contribution to evidence and its affect on donor and Malawi Government policy and implementation of FISP	Malawi	Agricultural Growth and Social Protection
5. Deferral of Kenyan Community land Bill for Extended Consultation	FAC influence on the deferment and changes made to the Community Land Bill	Kenya	Land
6. African Union 'Drivers of Success' study	FAC researcher collaboration in AU commissioned Drivers of Success study for review and renewal of CAADP targets and commitments by African Union Heads of State in Malabo	Africa	AU/CAADP
7. FAC influence on policy and practice on graduation from the Productive Safety Net Programme (PSNP) in Ethiopia	Changes in perceptions of, and piloting of new practices, with potential to influence policy, on graduation of food insecure people from Ethiopia's Social Protection Graduation Policy/PSNP	Ethiopia	Agricultural Growth and Social Protection
8. Adoption of Integrated and Inclusive Seed System and Supportive Enabling environment in Ethiopia	The development of an integrated and inclusive cereal seed system and supportive enabling environment in Ethiopia, that will enable farmer access to affordable cereal seed	Ethiopia	Science, Technology and Innovation

* Gender and Social Difference was looked at as a cross-cutting issue across all impact events

The evaluation framework

Table A2.5 sets out the evidence sources contributing to answering each of the evaluation questions. The types of analysis conducted in relation to each source of evidence are set out above.

Table A2.5: Evaluation methods contributing to EQs

Evaluation Questions	Methods							
	Document Review	Research output download/purchase analysis	Knowledge product user analysis	Quantitative Content Analysis	Rapid Outcome Assessment	Gender and Social Difference analysis	Key Informant Interviews	Personal Professional Development Outcome Analysis
EQ1: How closely did FAC's research themes and outputs fit the needs of policy makers and practitioners?		✓	✓		✓		✓	✓
EQ2: How have a range of organisations used FAC's knowledge products (including social media) and what is their perception of these products?	✓	✓	✓		✓		✓	✓
EQ3: How effectively has FAC engaged Southern researchers & included their perspectives and with what outcome?	✓				✓		✓	✓
EQ4: To what extent has FAC contributed new ideas and filled important knowledge gaps?			✓		✓	✓	✓	
EQ5: To what extent has FAC and its partners built sustainable capacity to engage in policy processes?					✓		✓	✓
EQ6: To what extent has the FAC TOC been shown to be operating in practice?					✓		✓	
EQ7: Has FAC worked effectively with other actors and networks?	✓		✓		✓		✓	✓
EQ8: In what ways has FAC shown that evidence is used in African Policy making?	✓				✓		✓	
EQ9: What can be learnt from the recommendations from previous reviews?	✓						✓	
EQ10: Was the communication focus on CAADP appropriate and what lessons can be learnt from it?					✓		✓	
EQ11: What are the insights from FAC on how DFID could increase the effectiveness of agricultural policy research work?	✓		✓		✓	✓	✓	✓
EQ12: What was the value added of creating and funding FAC as a consortium?					✓		✓	✓
EQ13: How effective was DFID support to FAC and what lessons can be learnt from this?	✓						✓	
EQ14: To what extent has FAC achieved its expected Outcomes and Impacts?	✓	✓	✓	✓	✓	✓	✓	✓
EQ15: What are the Outcomes from gender and social difference mainstreaming (beyond to the Gender and Social Difference research theme)?	✓			✓		✓	✓	✓
EQ16: What have been the unintended, positive and negative outcomes and impacts and what lessons can be learnt from them?	✓				✓	✓	✓	✓
EQ17: What are the key insights on how FAC could strengthen its Outcome and Impact and boost its VfM?	✓	✓			✓	✓	✓	✓

Challenges and limitations of the evaluation approach

The evaluation team experienced several challenges in implementation of the evaluation and identified various limitations of the approach. Overall the team feels that these challenges have limited but not undermined the robustness of the findings reported. Key challenges and limitations are:

Application of the ROA approach: The ROA method is considered appropriate for this evaluation as it is a recognised and valid method suited to the difficult challenge of identifying the impact of research on policy. The nature of this evaluation - retrospective, with a restricted time scale, geographically dispersed stakeholders and a diverse range of thematic and policy areas to consider – meant that the ROA approach (as described by the ODI involving face-to-face stakeholder workshops) could not be applied in text book style. From the outset the evaluation adapted the approach to retain the principles of the approach and applied them in a pragmatic way using primarily semi-structured individual face-to-face interviews to achieve the evaluation objectives and a balance between in-depth research in a small number of countries and wider research to assess the success of FAC at programme level.

Selection of impact events: A challenge was the limited number of identified impact events from which to sample, clustering in some countries, and their diverse nature[99]. A random selection of themes and countries would likely result in insufficient examples of impact for the desired learning. A purposive selection was therefore made. This has the benefit of ensuring positive examples from which learning can be gleaned. The limitation is in identifying the overall programmatic impact of FAC. The evaluation team feels that the breadth of methods used overcomes this limitation as triangulation of evidence with additional 'big picture' key informant interviews as well as documentary sources listed above, ensures there is sufficient data upon which to generalise and comment on the impact of FAC at programme level.

Limitations of the Knowledge Product User Survey: As would be expected in a self-selection survey of a group of this type (i.e. a group with light-touch engagement with the programme intervention) the response rate was limited[100]. This was anticipated at the outset and it was never intended that the survey would achieve a statistically robust sample of users. Subscribers sign up online by providing their name and email address. As such it is not possible to profile FAC mailing list subscribers in relation to the survey respondents. FAC members (including researchers, partners and grantees) were however removed from list of survey recipients meaning that those who received the survey invite are external to the FAC organisation.

Survey data is only considered representative of the sample itself, not the wider population of FAC knowledge product users. Data from the survey that appears in this report is appropriately caveated. In spite of these limitations the evaluation team see value in the survey method and the results for the following reasons:

- The knowledge product user survey was not a core component of the evaluation methodology and is used as an additional source of evidence to be triangulated with other strands (for example FAC user diagnostics and website usage data).
- Qualitative findings from the knowledge product user analysis add 'colour' and additional insight to other sources of evidence where it appears to reinforce the evaluation findings.
- The online survey approach allowed this relatively small evaluation to reach the largest possible number of individuals who have engaged with FAC. The decision to take a census approach to the mailing list (as opposed to random or stratified sampling) is justified on the

[99] The pool from which impact events were selected was derived from existing documented 'impact stories' produced by FAC and subsequent suggestions made by FAC Team, during discussions with the Evaluation Team.

[100] There is likely to be a significant positive response bias in the survey results with those most positively predisposed to FAC being most likely to take time to complete the survey. This too should be considered in any interpretation of responses.

basis that this non-core method could not be allocated any significant resource for individual follow-up. The only contact the evaluation team had with the mailing list recipients was email via Surveymonkey© (an initial email and two follow-ups). Without the ability to actively target recipients the decision was to cast the net as wide as possible to elicit the maximum response.

Limitations of the Personal Professional Development Survey: Overall there was a very strong response from grantees who were invited to participate in the survey (84%). The response from lead/ co-researchers was more disappointing. A key limitation of the analysis is therefore the extent to which responses are representative of the wider group of FAC researchers. Given the nature of the survey, which was quite lengthy and used an online approach, it is also likely that there will be a positive response bias in the findings. This caveat should be considered in the interpretation of survey data.

In spite of these caveats, the evaluation team feels that overall the survey provides a reasonable evidence base, when viewed in conjunction with findings of other research strands, upon which to comment on the outcome and impact of FAC in relation to capacity development (particularly the development of junior researchers). The qualitative analysis in particular provides insight and a deeper understanding of the quantitative findings by examining in-depth the range of attitudes, beliefs, behaviours and attributes of researchers within the sample.

Inclusion and ethics

Upper Quartile and our contractors operate with strict adherence to Upper Quartile's Professional Code of Conduct. Research conducted for this evaluation is in line with the principles of research ethics set out in the DFID Ethics Principles for Research and Evaluation.

All contributors were informed in advance of the evaluation purpose, measures to ensure anonymity in reporting, and of their right to refuse to answer questions. Contributors gave informed consent (verbal or written) by virtue of the fact that they chose to complete the survey questionnaire to participate.

While individuals have not been named in this report, it may be possible that some contributors are identifiable by virtue of their detailed responses. The evaluation team has sought to minimise these instances and, in cases where the nature of source material makes this unavoidable (for example detailed studies of specific impact events), the individuals concerned have been provided a draft of the material that relates to them and their activities for comment.

Specific effort was made in qualitative data collection to provide a voice to the full spectrum of FAC stakeholders, including junior researchers and African based researchers, and communications specialists.

APPENDIX 3: THEORY OF CHANGE

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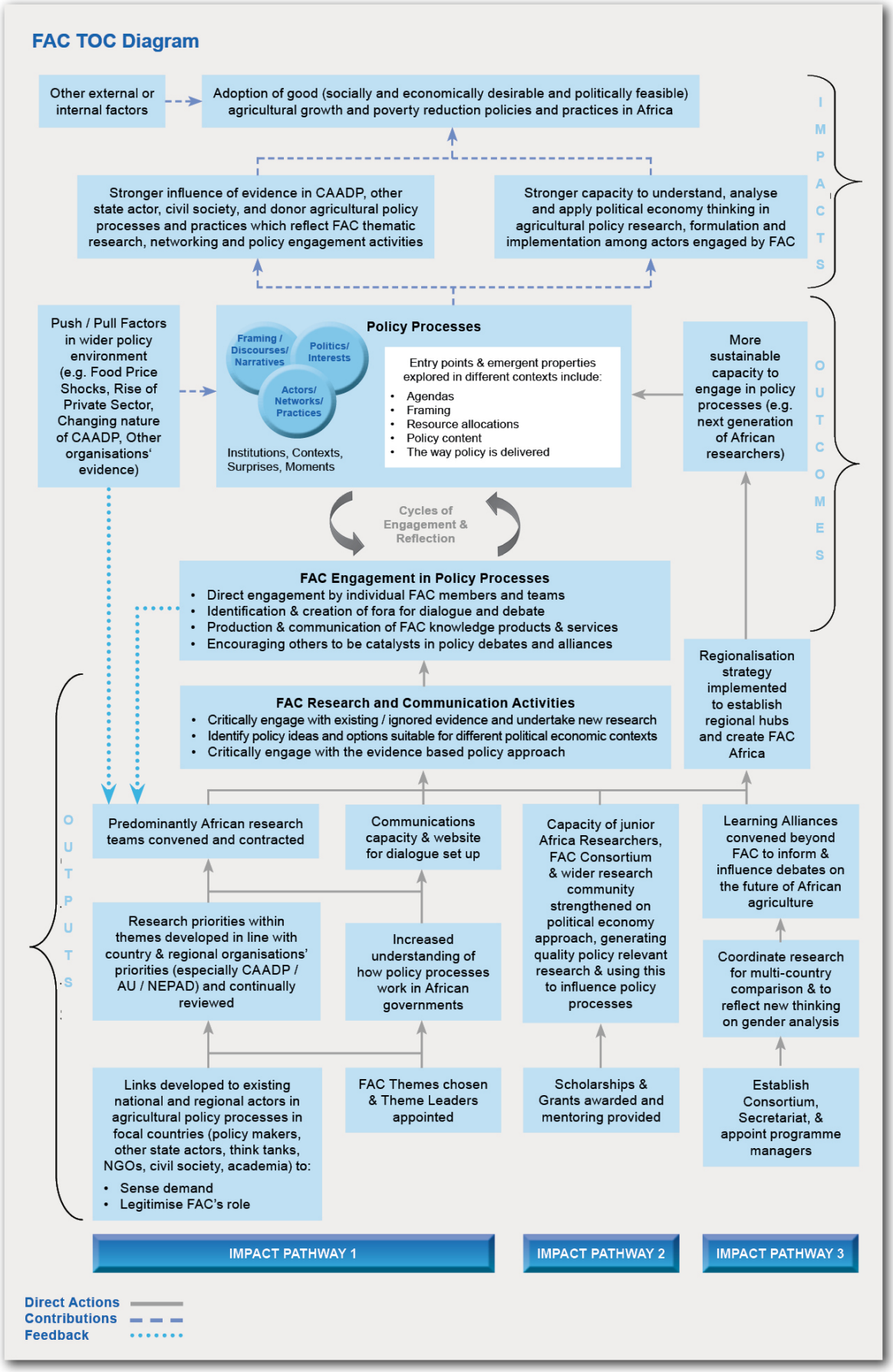
FAC TOC Diagram
Other external or internal factors
Adoption of good (socially and economically desirable and politically feasible) agricultural growth and poverty reduction policies and practices in Africa
Stronger influence of evidence in CAADP, other state actor, civil society, and donor agricultural policy processes and practices which reflect FAC thematic research, networking and policy engagement activities
Stronger capacity to understand, analyse and apply political economy thinking in agricultural policy research, formulation and implementation among actors engaged by FAC
IMPACTS
Push / Pull Factors in wider policy environment (e.g. Food Price Shocks, Rise of Private Sector, Changing nature of CAADP, Other organisations' evidence)
Framing / Discourses/ Narratives
Politics/ Interests
Actors/ Networks/ Practices
Institutions, Contexts, Surprises, Moments
Policy Processes
Entry points & emergent properties explored in different contexts include:
Agendas
Framing
Resource allocations
Policy content
The way policy is delivered
More sustainable capacity to engage in policy processes (e.g. next generation of African researchers)
OUTCOMES
Cycles of Engagement & Reflection
FAC Engagement in Policy Processes
Direct engagement by individual FAC members and teams
Identification & creation of fora for dialogue and debate
Production & communication of FAC knowledge products & services
Encouraging others to be catalysts in policy debates and alliances
FAC Research and Communication Activities
Critically engage with existing / ignored evidence and undertake new research
Identify policy ideas and options suitable for different political economic contexts
Critically engage with the evidence based policy approach
Regionalisation strategy implemented to establish regional hubs and create FAC Africa
OUTPUTS
Predominantly African research teams convened and contracted
Communications capacity & website for dialogue set up
Capacity of junior Africa Researchers, FAC Consortium & wider research community strengthened on political economy approach, generating quality policy relevant research & using this to influence policy processes
Learning Alliances convened beyond FAC to inform & influence debates on the future of African agriculture
Research priorities within themes developed in line with country & regional organisations' priorities (especially CAADP / AU / NEPAD) and continually reviewed
Increased understanding of how policy processes work in African governments
Coordinate research for multi-country comparison & to reflect new thinking on gender analysis
Links developed to existing national and regional actors in agricultural policy processes in focal countries (policy makers, other state actors, think tanks, NGOs, civil society, academia) to:
Sense demand
Legitimise FAC's role
FAC Themes chosen & Theme Leaders appointed
Scholarships & Grants awarded and mentoring provided
Establish Consortium, Secretariat, & appoint programme managers
IMPACT PATHWAY 1
IMPACT PATHWAY 2
IMPACT PATHWAY 3
Direct Actions
Contributions
Feedback

FAC ToC Assumptions

Impact Pathway 1

a) A lack of evidence-informed knowledge and ideas grounded in the political economic realities of African agricultural policy contexts is an important constraint to the effectiveness with which the policy problems associated with FAC's themes are addressed (and therefore addressing this constraint should result in more effective policy and practice);

b) Enough competent researchers available who understand the need to produce and communicate empirical research findings;

c) FAC's research evidence and advice are viewed by policy makers and other users as being of sufficient quality, timeliness and relevance to their work needs and priorities that they value them and draw ideas and inspiration from them **[NB: This is a key assumption to be tested];**

d) New policy ideas and options can be generated through FAC research and made available, accessible and attractive through FAC communications and networking efforts for policy makers and practitioners to engage with;

e) Direct engagement of FAC members in policy processes often results from the prior dissemination of relevant FAC outputs and the credibility they bring;

f) Policy makers are willing and able to use well communicated, timely, and relevant externally generated research evidence provided by FAC and its partners;

g) Donors willing to work together to support evidence informed alternative perspectives on agricultural policy processes;

h) Policy makers not distracted by major political upheaval or unforeseen events and use evidence to influence policy;

i) CAADP is an important user of evidence and influencer of national and regional policy and practice **[NB This is a key assumption to be tested];** and

j) FAC has sufficient credibility and capacity to convene influential learning events and policy dialogues.

Impact Pathway 2

a) Collaborative Masters Programme in Agricultural and Applied Economics in Eastern, Central and Southern Africa (CMAAE) and other comparable courses able and willing to work with FAC to implement the scholarship programme;

b) Junior researchers attracted to working with FAC and able to benefit from the opportunity provided;

c) Senior FAC members willing and able to provide necessary mentoring to junior fellows; and

d) Field work supervision and support through existing FAC projects and opportunities for publication can be provided by FAC.

Impact Pathway 3

a) Capacity to recruit, retain and motivate high quality African country coordinators and research theme leaders;

b) Partners willing to be members of the Consortium;

c) Linguistic and cultural barriers can be surmounted through close partnership arrangements; and

d) A suitable African institutional base can be identified to serve as the FAC Secretariat.

APPENDIX 4: QUANTITATIVE CONTENT ANALYSIS

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A Quantitative Content Analysis of Malawian Agricultural Policy Documents

Claremont Evaluation Center
Sarah Mason, M.A.
Tarek Azzam, Ph.D.

August 2014

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1

Executive Summary

This document describes a quantitative content analysis (QCA) of agriculture-related media and policy documents from Malawi. Conducted by a team of researchers from the Claremont Evaluation Center (CEC), this QCA was commissioned by Upper Quartile and represents one component of a DFID-funded evaluation of the Future Agricultures Consortium (FAC).

The Future Agricultures Consortium is an Africa-based alliance of research organizations that seeks to provide high-quality advice on agricultural policy and practice across Africa. One core focus of the broader FAC evaluation is an examination of the extent to which FAC's research has influenced agricultural policy across Africa.

Within this context, this QCA was funded as an experimental methodology to trial its use as a method for evaluating policy influence. To this end, the QCA examined only one of the FAC's target countries, Malawi. Malawi was selected for this study due the fact that English is the national language, and the view that policy documents would be more readily available there than in other partner countries.

Research Questions

The QCA addressed five research questions:

1. To what extent are the FAC themes reflected in their own (FAC) materials?
2. To what extent are FAC themes reflected in Malawian policy documents?
3. Which document types and sources are most likely to reflect FAC themes?
4. Has this changed (increased) over the life of the program?
5. What factors predict greater integration of FAC themes into policy documentation?

The QCA focused on four thematic areas: subsidies, political economy, CAADP and gender and social difference. These themes were selected to complement UQ's prior focuses for the broader Malawi evaluation. All four themes were conceptually defined through a set of sub-themes that were identified through a qualitative analysis of FAC materials, and then refined through feedback from UQ and FAC.

The QCA analyzed four themes: Subsidies, Political Economy, CAADP and Gender & Social Difference

In total, the CEC team coded 360 documents. Thirty of these were produced by the FAC (internal), while the remaining 330 were publicly available media/policy documents. External materials were primarily sourced from online sources, and were selected using a multi-stage sampling approach.

Internal documents were randomly sampled from the set of materials available on the FAC website.

The final sample of FAC documents comprised a range of document types, including: Working Papers, Policy Briefs, Research Papers and Discussion Papers. The final sample of policy and media documents included: newspaper article and press releases, speeches by national and African Union ministers, formal policy documents such as national legislation or AU Decisions and Declarations, conference and meeting materials (e.g. PowerPoint documents, meeting minutes and meeting agendas), and internal policy documents (e.g. strategy documents or guidelines for putting policy into practice).

Internal FAC documents were numerically coded on the four thematic variables using a 1 (inconsistent) to 7 (highly consistent) semantic differential scale.

External documents were also numerically coded on each of these thematic variables, with dual emphases on both the depth and breadth of thematic integration. Depth of integration was captured by a latent rubric scale that ranged from 1 (no sub-themes mentioned at all) to 5 (at least one sub-theme clearly mentioned and a focus/priority of the document). Breadth was captured by a count of the number of sub-themes rated at least a three (clearly mentioned but not a priority) on that variable. Specific examples of sub-themes are noted in Chapter 3 of this report.

Findings

Question 1: To what extent are the FAC themes reflected in their own (FAC) materials?

- The four thematic areas varied in the extent to which they were integrated into FAC materials.
- Two of the four themes (subsidies and political economy) were strongly and consistently represented across FAC documents, while the remaining two themes (CAADP and gender and social difference) were less extensively incorporated.
- Of the four thematic areas, FAC materials least reflected the CAADP theme, wit the majority of documents (93.3%) making no reference to it at all.
- Overall, the gender and social relations theme was moderately represented, with more than two-fifths (43%) clearly referencing at least one related sub-themes. However,

these results were influenced by the presence of one sub-theme in particular: the social relational subtheme.

- Few documents reflected the remaining sub-themes at all, and were particularly low on the challenging framings, diversity and dynamism sub-themes.
- A small number of documents also contained statements that were partially inconsistent with the stated FAC thematic foci.

Question 2: To what extent are FAC themes reflected in Malawian policy documents?

- Representation of FAC themes and sub-themes across media and policy documents was typically low. The average document made either no reference to any FAC sub-themes or only vague and indirect references to any FAC sub-themes.

Question 3: Which document types and sources are most likely to reflect FAC themes?

- The extent to which FAC themes were reflected in media/policy documents differed based on document type, document source and level (regional vs national vs civil society).
- Although trends differed for each thematic area, in general, newspaper articles and speeches reflected fewer and less extensive thematic content, whereas internal policy/procedure documents tended to demonstrate higher integration.

Question 4: Has this changed (increased) over the life of the program?

- Among documents of the same type and from the same source, there was not enough evidence to suggest an increase in the breadth or depth of thematic integration across time.
- Descriptive comparisons between average levels of integration 'before' and 'after' the FAC program, however, do show greater integration among post-2005 materials. Nevertheless, due to the very small number of documents available from prior to 2005 (n=9) any statistical analyses of these comparisons are problematic.

Question 5: What factors predict greater integration of FAC themes into policy documentation?

- Documents that directly refer to FAC partners tended to reflect a greater number of sub-themes than those that did not. On average, documents that refer to FAC partners refer to one more sub-theme than those that do not.
- Once document source and document type were accounted for, the country's level of food crisis in any given year was not a significant predictor of any of the thematic variables.

- The research team had hoped to examine at whether FAC's level of personal contact with document sources predicted level of integration, but did not receive the requisite information from their FAC contact.

Interpretations

- Findings from this study are consistent with broader policy research, which suggests the direct impact of research on policy documents is typically low (Meagher, Lyall & Nutley, 2008).
- Although direct numerical comparisons are difficult due to the absence of similar studies, recent research (Harman, Mason & Lopez, in preparation) using comparable scales to assess the extent that evaluation theory/research was reflected in evaluation websites produced similar results.
- In addition, these findings are consistent with policy research studies, which indicate the impacts of research on policy are often non-linear (Lyall et al, 2004).
- It would be beneficial to further examine those years where particular spikes occurred, namely 2006 for the Political Economy, Subsidies and Gender & Social Difference themes, and 2008 for the CAADP theme.
- Another area for further exploration is the low reflection of FAC themes in newspaper articles; this should be read in light of research that demonstrates the importance newspapers, television and radio as important sources of social science information for government officials (Caplan, 1979).

Limitations

Any findings from this study should be interpreted with caution in light of the limitations identified in chapter 4 of this report.

Ch 2

Introduction, Design & Methods

The Future Agricultures Consortium (FAC) is an Africa-based alliance of research organizations that seeks to provide high-quality advice on agricultural policy and practice across Africa. The Consortium, a network of over 90 researchers across 15 countries, produces technical papers, books and policy briefs on the politics and processes of African agriculture.

Between May and August 2014, the Claremont Evaluation Center conducted a quantitative content analysis (QCA) of agriculture-related media and policy documents from Malawi. Commissioned by Upper Quartile (UQ), this QCA represents one component of a Department for International Development (DFID)-funded evaluation of the Future Agricultures Consortium. Given its relative newness as an evaluation methodology in evaluation policy-related evaluations, this QCA was funded as an experimental methodology and trialed in one of the FAC's target countries, Malawi.

Research Questions

A key focus for the broader FAC evaluation will be to assess the impact of FAC's research on agricultural policy in Africa. Thus, the design and implementation of the quantitative content analysis were conducted in support of this goal. To this end, the QCA addressed five research questions

1. To what extent are the FAC themes reflected in their own (FAC) materials?
2. To what extent are FAC themes reflected in Malawian policy documents?
3. Which document types and sources are most likely to reflect FAC themes?
4. Has this changed (increased) over the life of the program?
5. What factors predict greater integration of FAC themes into policy documentation?

Design and Methods

Overview. Quantitative content analysis is a methodology that allows researchers to analyze trends in written communications (GAO, 1996). It is commonly used to determine the relative emphasis placed on issues in the mass media and to study trends in communication over time (Crano & Brewer, 2002). As an emerging evaluation methodology, quantitative content analysis offers unique potential for evaluations assessing the influence of research on policy. By systematically categorizing and coding policy content, QCA allows evaluators to quantitatively examine changes in policy content over time.

In conducting the quantitative content analysis the research team used Nuendorf's six methodological concerns (Nuendorf, 2011) to guide the study. This involved: (1) unitizing (selecting the units to be measured), (2) sampling a subset of units from the population of interest, (3) measurement (operationalizing key variables and developing a codebook), (4)

training coders through pilot testing, (5) reliability (calculating inter rater reliability), and (6) reporting results (see Figure 1).

Figure 1: Overview of Nuendorf's six methodological concerns for quantitative content analysis

Unitizing. Policy documents were chosen as the primary context unit for this study. Where policy changes have occurred on any of Jones and Villar's (2008) key dimensions of possible policy impact, (attitudinal change, discursive commitments, procedural change, policy content and behavior change) one location these shifts will be reflected is in policy documentation. Through consultation with Upper Quartile and the FAC national media reports were also included in the study. During these discussions it was agreed that the media would be a better source of relevant material than CAADP documents for the weighted sample. To address research question 1, the research team also coded a smaller sub-set of FAC-produced materials.

Consistent with Nielsen's (2001) recommendations, 'policy' was defined broadly so as to include documents that reflect processes, activities and decisions undertaken by states and other policy actors. For the purposes of this study, that included documents such as: national legislation, internal policy/procedure documents, speeches, meeting minutes and meeting agendas. The research team coded at the thematic level, using the broader context of the document to interpret meaning.

Sampling. In total, the research team coded 360 documents. Of these, 30 were produced by the FAC, while the remaining 330 were publicly available agriculture-related media or policy documents. These latter documents were chosen from a sampling frame of 3,876 documents which comprised regional and national agriculture-related news and policy documents available through online sources such as online news sites, the official Malawi Government, the CAADP website, the African Union website and selected Civil Society Organization (CSO) websites (see Annex 1 for more detail on the sampling frame).

To identify these documents, the researchers first selected potential sources of relevant policy documents (CAADP, the African Union, the Malawi Government), then searched their websites for meeting minutes, meeting agendas, decisions, and legislation. News stories were identified through a keyword search ("agriculture") of articles available on online news sites. Documents from CSOs were identified through a three-stage process:

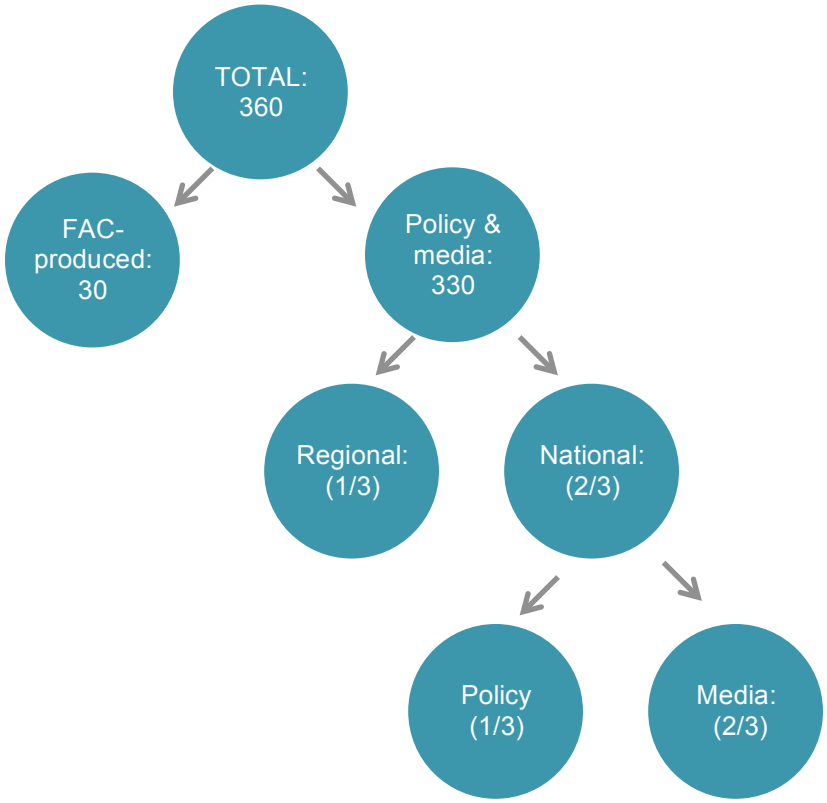
1. Through Upper Quartile, FAC provided a list of six core agriculture-related civil society organizations in Malawi.[1]
2. The research team searched selected CSO websites for any policy-related documents, such as meeting minutes, meeting agendas, policy/position statements, internal process/procedure documents, or press releases.

[1] This list comprised CISANET, Farmers Union of Malawi, NASFAM, World Vision, Concern and Action Aid.

3. Upper Quartile tasked a locally based Malawian researcher with searching for additional documents within these organizations. Thirteen documents were sourced during this third stage.

The research team utilized a multi-stage sampling approach, whereby the sample frame was sorted into strata and documents randomly selected from each strata. However, sampling within each strata was not proportionate to the population given the small number of documents available within some levels, most notably the Malawian-government legislation and policy strata (11). Instead, a weighted approach to sampling was adopted to reflect the differing foci of the FAC research. To this end, the research team adopted a two-to-three ratio for sampling documents: two thirds of the sample was national-level documents, while the remaining one-third was chosen from regional sources such as CAADP or the African Union. Within the national sample, the two-to-three ratio was again applied, with two thirds of the documents being selected from the available news articles, and the remaining one-third from other national-level sources. This was in response to our understanding that FAC work primarily targeted the national level, and change, if any, would most likely be reflected in news articles.

Figure 2: Sampling overview



It should be highlighted that this approach to developing a sampling frame was not ideal. It not clear whether the online documents represent an exhaustive list of potential policy/news documents from Malawi; moreover, it is also not clear whether online

cuments differ substantially to those potentially sourced in country.[2] Thus, while the study represents a wide and varied sample sourced from online policy materials, readers should be cautious in applying findings beyond the sampling frame from which they were drawn.

The final sample of FAC documents comprised a range of document types, including: Working Papers (13), Policy Briefs (11), Research Papers (5) and Discussion Papers (1). The final sample of policy and media documents included: newspaper article and press releases (188),[3] speeches by national and African Union ministers (33), formal policy documents such as national legislation or AU Decisions and Declarations (35), conference and meeting materials (e.g. PowerPoint documents, meeting minutes and meeting agendas) (59), and internal policy documents (e.g. strategy documents or guidelines for putting policy into practice) (5).

Measurement. Before conducting the QCA, the research team developed two codebooks: one for coding media/policy documents, and a second for coding FAC-produced documents.

Media &policy documents. The research team identified nine variables of interest for coding media/policy documents: five relating to FAC themes (see Table 1) and four relating to the document itself.

Table 1: Variables coded for in external media and policy documents

Thematic Variables	
Extent Subsidies	*To what extent does the document reflect FAC sub-themes relating to Subsidies?*
Extent Political Economy	*To what extent does the document reflect FAC sub-themes relating to Political Economy?*
Extent CAADP	*To what extent does the document reflect FAC sub-themes relating to CAADP?*
Extent Gender	*To what extent does the document reflect FAC sub-themes relating to Gender and Social Difference?*
Number sub-themes	*How many sub-themes are reflected in the document?*
Document Variables	
Document Type	*What type of document is it?*
Year	*What year was the document published?*
Document Source	*Who published the document*
Direct Reference	*Does the document directly reference the FAC or any of its key partners?*

Although the FAC's work addresses ten core themes, the QCA focused on three: political economy, subsidies, and gender and social difference. The QCA also analysed one component

[2] In future studies, it would be advantageous to allocate in-country resources to finding a more exhaustive sampling frame to sample from.
[3] This is greater than 160 as some articles/press releases were sourced from government sources and so considered policy documents during the sampling phase.

of the FAC's growth and social protection theme, influencing the CAADP. These areas were selected to support and complement UQ's focus for the broader evaluation of FAC work in Malawi, which identified the subsidy program, CAADP policy processes, and gender as "impact events for deeper analysis" (UQ Inception Report, p.23). A fourth focus on political economy was also included at UQ's request, given its role as a crosscutting theme across all of the FAC's work. These thematic areas informed the first four variables, which examined the extent to which FAC themes were reflected in each document. Conceptual definitions for these variables were derived through a set of sub-themes for each thematic are. Sub-themes were identified through a qualitative analysis of Malawi-related FAC research/policy papers, and then refined through feedback from both Upper Quartile and the FAC (see Annex 2 for the final codebook). Each variable was coded using a latent rubric scale that ranged from 1 (no sub-theme mentioned at all) to 5 (at least one sub-theme mentioned clearly and it is a major focus/priority of the document).

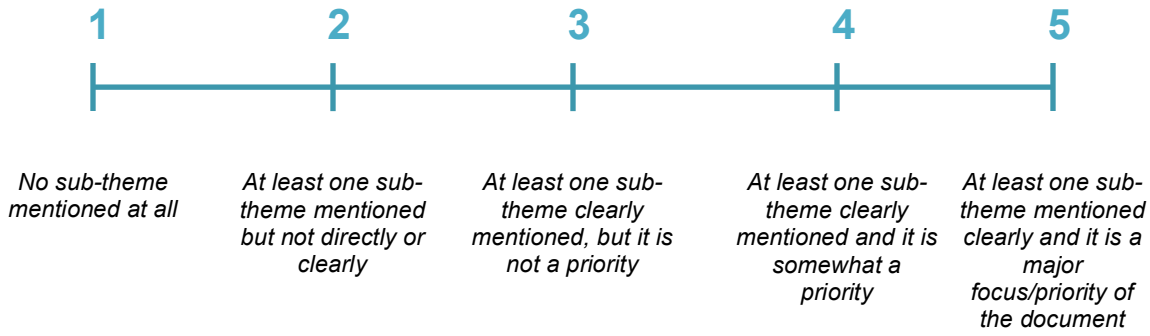
Sub-themes considered when coding each thematic area include (for a more detailed overview of each sub-theme, see Annex 2):

- Subsidies
  - Pragmatism (rigid policies against subsidies are inappropriate)
  - Research and evidence (there should be research and evaluation on agricultural input subsidies that includes a wider set of impact, implementation issues, studies on complementary policies and fiscal sustainability)
  - Complementary policies (the effectiveness of subsidies depends on complementary policies)
  - Monopoly issues (seeds supplied by multinational companies are privileged at the expense of the national breeding program)
  - Access (gaining access to high quality and improved seed or fertilizer at affordable prices is a problem for many smallholder farmers)
  - Local industry (there is a need for a strong, locally based seed industry)
  - Uneven benefits (the benefits of subsidy led interventions are unevenly distributed)
  - Regulation (there is a need for improved local accountability in the seed industry)
  - Targeting (there are major difficulties with targeting subsidy programmes)
  - Effects (there is only weak evidence that changes in welfare indicators can be directly attributed to receiving subsidies)
  - Graduation (there should be discussion around graduation, termination or exit from the subsidy programme)
- Political Economy
  - Political Economy thinking (evidence of applying political economy thinking, as per the OECD definition)
  - Politics matter (Agricultural policy is shaped by political interests)

- Policy narratives (Some narratives gain more authority and have more bearing on policy decisions)
- Incentives (it is important to identify the incentives that encourage/discourage the state to promote agricultural development)
- International actors (international actors shape agricultural policy in Malawi)
- Maize (maize plays a critical role in shaping the contract between the state and citizens in Malawi)

- CAADP
  - Incentives (Domestic political incentives determine how and why countries engage with CAADP. The major question for CAADP is therefore how to strengthen political incentives for investing in smallholder agriculture)
- Gender (see section of FAC-produced documents below).

Figure 3: Scale used to code thematic variables for external media and policy documents



The intent behind these first four variables was to capture the intensity and depth with which FAC themes were reflected in policy/news documents. They were supplemented by a fifth variable that explored the breadth of FAC themes/sub-themes reflected in each document. This fifth variable comprised a count of the number of sub-themes directly mentioned in each document. Addition of this fifth variable enabled the research team to analyse change in both the depth and breadth of thematic integration over time.

The remaining four variables related to document production and included: year published, document source, document type (e.g. news article, speech, meeting document), and a code for whether the document directly referenced a FAC researcher or partner. This last variable was also developed by the research team and refined through feedback from FAC. These final four variables were selected to facilitate analysis of change over time, and to account for pre-existing differences in certain sources and types of documentation.

FAC-produced documents. The research team also identified 15 variables of interest for coding FAC-produced materials: nine relating to thematic content, two relating to the documents themselves (see Table 2), and four additional gender-focused variables. All thematic variables were coded on a seven-point semantic differential scale ranging from

1(inconsistent, arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document) to 7 (consistent, sub-theme is clearly articulated and integrated into in multiple sections of the document). As the primary purpose for coding FAC documents was to assess the extent that the gender and social difference themes were mainstreamed into FAC materials, each of the Gender sub-themes were coded individually. These included the following:

- Social Relational (problems of social disadvantage need to be analysed and addressed in the context of social relations)
- Challenging Framings (gender does not equate with women)
- Diversity (women and men are diverse social groupings with multiple identities)
- Dynamism (gender relations are not static)
- Support (there should be discussion around the different types of support).

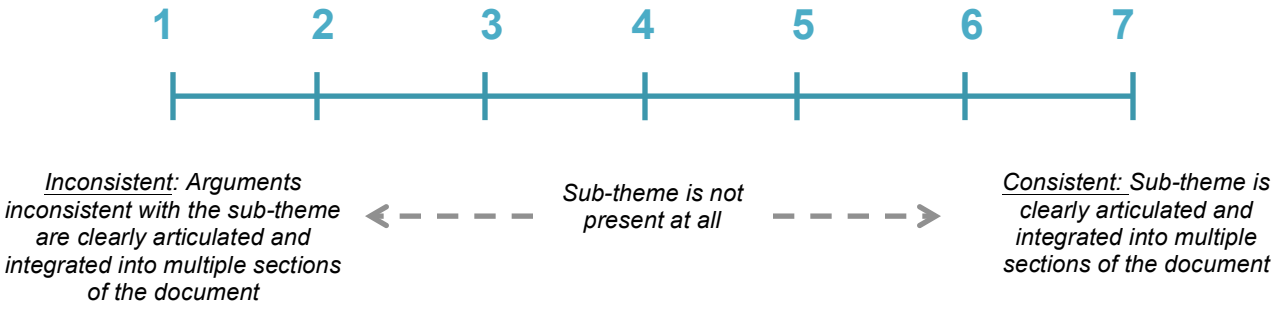
Table 2: Variables coded for in FAC-produced documents

Thematic Variables	
Extent Subsidies	*To what extent are Subsidies sub-themes integrated into the document?*
Extent Political Economy	*To what extent are Political Economy sub-themes integrated into the document?*
Extent CAADP	*To what extent are CAADP sub-themes integrated into the document?*
Extent Gender	*To what extent are Gender and Social Difference sub-themes integrated into the document?*
Extent Social Relational	*To what is the Social Relational sub-theme integrated into the document?*
Extent Challenge	*To what is the Challenging Framings sub-theme integrated into the document?*
Extent Diversity	*To what is the Diversity sub-theme integrated into the document?*
Extent Dynamism	*To what is the Dynamism sub-theme integrated into the document?*
Extent Support	*To what is the Support sub-theme integrated into the document?*
Document Variables	
Document Type	*What type of document is it?*
Year	*What year was the document published?*
Gender Variables	
Number Gender	*Number of times the word 'gender' is used*
Number Male	*Number of times the words 'male,' 'men,' 'man' or 'father' are used*
Number Female	*Number of times the words 'female,' 'woman,' women' or 'mother' are used*
Primary Focus	*Is gender the document's primary focused?*

Gender sub-themes were initially identified through an analysis of the FAC's Gender and Social Difference web page, and then refined through feedback from Upper Quartile. The remaining three thematic variables (Extent Subsidies, Extent Political Economy and Extent CAADP) were conceptually defined by the same sub-themes used to code the media/policy documents.

Gender-specific variables included word counts for the number of times Men (including the words: male, men, man and father), Women (female, woman, women, mother) and Gender were used in each document, and a Primary Focus variable, which assessed whether gender was the primary focus of the document. These variables were included to facilitate further analysis of the Challenging Framings variable with the rationale that if gender does not equate with women, both men and women should, on average, be referred to with the same frequency, and to test for whether thematic content was mainstreamed across all documents, not simply in those documents those where gender was the primary focus.

Figure 4: Scale used to code thematic variables for FAC documents



The remaining two variables (Year, Document Type) were incorporated to allow for analysis of change over time, and to examine whether there were differences across different types of documents.

Training. Before coding, the research team developed a draft codebook. Coders were trained through pilot coding, during which three members of the research team independently coded fifteen documents. Inter rater reliabilities were calculated on all variables, and adjustments to the codebook made accordingly. One variable (Primary Sub-theme) was removed due to low inter rater reliability, while additional specificity was added to the operational definitions for the four thematic variables. This was achieved by specifying that where documents did not directly reference the substantive content of relevant FAC themes/subthemes (e.g. subsidies), the highest value it could obtain was a two (at least one sub-theme mentioned, but not directly or clearly). Specific examples of cases at each level of the thematic-based variables were also provided. The fifteen pilot cases were excluded from the sampling frame before selecting the final sample.

Reliability. Two members of the research team independently coded the 330 media/policy documents using the revised codebook. Inter rater reliabilities were calculated

for each variable to assess their level of reliability. Intra Class Correlations (ICC) were calculated for all continuous variables (the five thematic-based variables) while Cohen's Kappa was calculated for the four remaining categorical variables. Possible values for Intra Class Correlations and Cohen's Kappa range from -1 (perfect disagreement) to 1 (perfect agreement), with 0 representing the level of agreement that would be expected by chance.

Adopting Chichetti's (1994) criteria for assessing inter rater agreement, the final ICC values ranged from fair to excellent, with the CAADP *(ICC = .941)*, Number of Sub-theme (*ICC=.856),* and Gender (*ICC = .782)* variables demonstrating excellent agreement, the Subsidies variable(*ICC = .639*) demonstrating good agreement, and the Political Economy variable (*ICC = .530*) achieving fair agreement. Note, however, that one coder's results for the Political Economy variable were discarded due to low initial inter rater reliability (*ICC = .274*). Here, a third, 'expert' coder analyzed 33 (ten per cent, randomly sampled) documents to establish which of the coders' results should be discarded. Thus, the ICC above reflects the degree of agreement between the expert coder and the remaining coder's results. This is recommended by Riffe, Lacy and Fico (2014) as an alternate approach to establishing inter rater reliability.

Table 3: Inter Rater Reliabilities

Thematic Variables	Intra Class Correlation	Assessment
Extent Subsidies	.639	Good
Extent Political Economy	.530	Fair
Extent CAADP	.941	Excellent
Extent Gender	.782	Excellent
Number sub-themes	.856	Excellent
Document Variables	**Cohen's Kappa**	**Assessment**
Document Type	.895	Almost perfect
Year	.945	Almost perfect
Document Source	.900	Almost perfect
Direct Reference	.662	Substantial

Using Landis and Koch's (1977) guidelines for interpreting kappa values, agreement on the categorical variables (Year, Document Source, Document Type and Direct FAC Reference) was very high, with almost perfect agreement on Year (*Kappa = .945*), Document Source (*Kappa = .9*) and Document Type (*Kappa = .895),* and substantial agreement on the Direct Reference variable (*Kappa = .662).*

Final variables were created by taking the mean of the two coders' results for continuous variables. Where the two coders disagreed on categorical variables, the 'expert coder' reviewed each case and selected the most appropriate level.

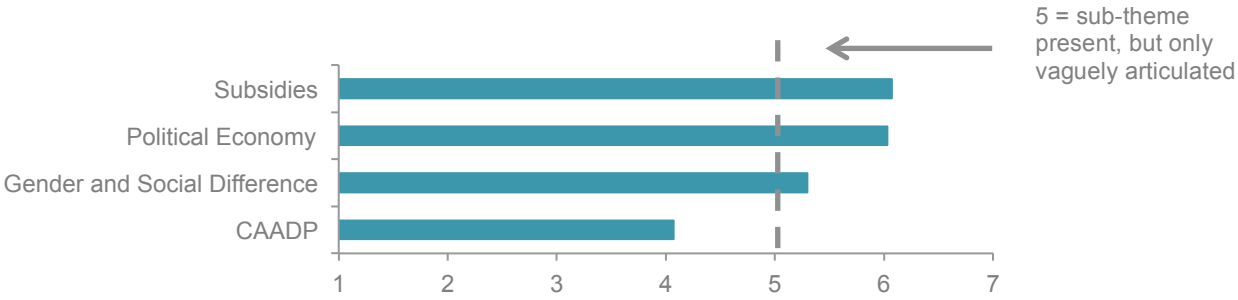
Ch 3

Findings

Research Question 1: To what extent are FAC themes reflected in FAC documents?

Thematic variables were coded on a seven-point semantic differential scale ranging from 1(inconsistent) to 7 (consistent), where 4 represented no mention of the theme/sub-theme at all. Using this scale, substantial variability in the integration of specific themes was observed. On average, the Subsidies (*M = 6.07)* and Political Economy (*M = 6.03)* thematic areas were most extensively and consistently integrated into sample documents, whereas the Gender *(M = 5.3)* and CAADP (*M = 4.07)* themes tended to be less consistently integrated (see Figure 5). A more detailed breakdown of each thematic areas is presented below.

Figure 5: Average level of thematic integration within FAC documentation



Subsidies. Overall, the Subsidies theme was extensively integrated into FAC documents. Approximately two thirds (67%) of all documents contained a direct reference to the theme, with nearly half (47%) obtaining a score of 7, meaning the theme was clearly articulated and integrated into multiple parts of the documents. Only a small proportion (6.7%, two documents) did not refer to any Subsidies sub-themes at all (see Figure 6).

Political Economy. Strong integration of the Political conomy theme was also evident across FAC documents. Seven in ten documents (70%) directly referenced at least one Political Economy sub-theme, with half of all documents (50%) obtaining a score of 7 (clearly articulated and well integrated). Only a small number (5 documents, 17%) did not contain references to any Political Economy sub-themes (see Figure 7).

Figure 6: Proportion of FAC documents coded as 4,5,6 and 7 on the Subsidies theme

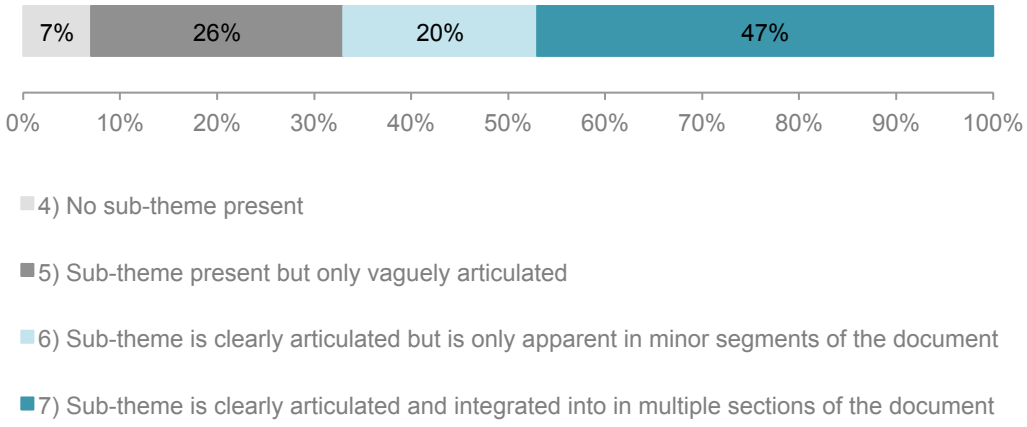
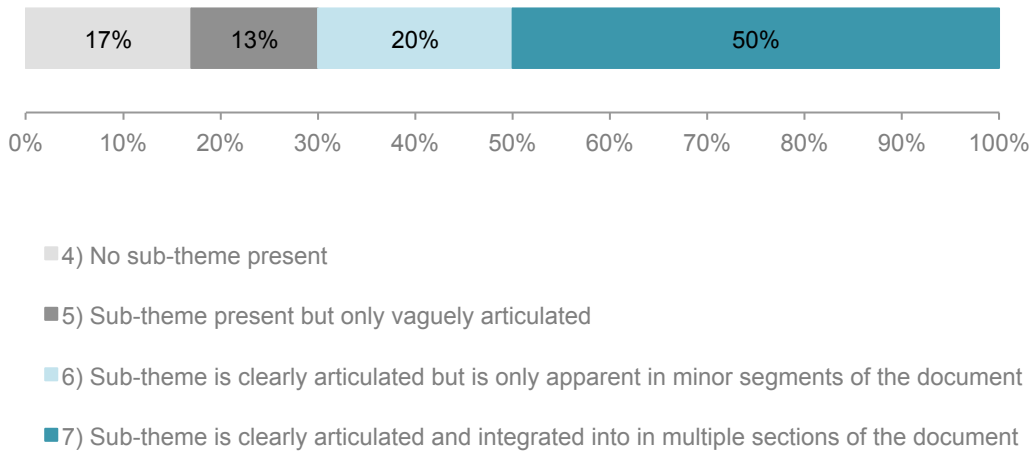
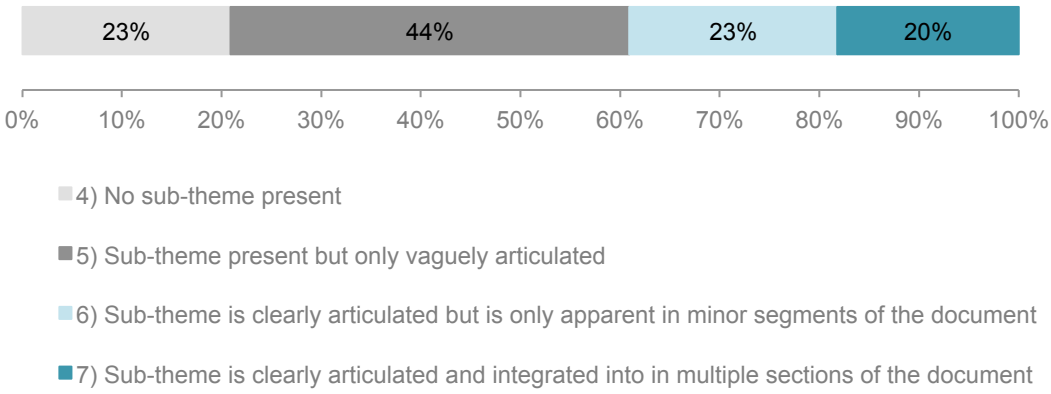


Figure 7: Proportion of FAC documents coded as 4,5,6 and 7 on the Political Economy theme



Gender and Social Difference. In general, the Gender and Social Difference theme was less extensively and consistently integrated into FAC documents than the Subsidies and Political Economy themes. On average, FAC materials scored 5.3 on the Gender and Social Difference variable, indicating that the average document only vaguely referred to any of the Gender and Social Difference sub-themes. Breaking this down by each level, one in three FAC documents clearly referred to at least one sub-theme, one half vaguely referred to at least one sub-theme, and nearly one quarter did not refer to any sub-themes at all (see Figure 8).

Figure 8: Proportion of FAC documents coded as 4,5,6 and 7 on the Gender and Social Difference theme



When broken down by sub-theme however, it becomes evident that the mean score for the Gender and Social Difference variable is shaped by the presence of one sub-theme in particular: the social relational sub-theme. Whereas nearly one third (30%) of the FAC documents contained a direct reference to the Social Relational sub-theme, and another two-fifths (40%) vaguely referred to it, very few of the remaining sub-themes received any mention at all. In fact, a large majority of FAC documents made no reference to the Challenging Framings (96.7%), Dynamism (93.3%) and Diversity (70%) sub-themes. Furthermore, a small number of materials (Diversity, 6.7%; Social Relations, 6.7% and Dynamism, 3.3%) even contained statements that were inconsistent with these sub-themes, receiving scores of three (arguments inconsistent with the sub-theme are present, but only vaguely) (see Figure 9). Common reasons for assigning scores of three were that documents referred to 'women' and 'men' and as if they were homogenous groups whose roles and interactions were static and unlikely to change.

CAADP. The CAADP theme was not extensively reflected in FAC documents. Of the thirty documents coded, only two (6.7%) contained any reference to CAADP sub-themes at all, and these were only vaguely referred to. The remaining 28 documents did not refer to any CAADP sub-themes (see Figure 10).

Figure 9: Proportion of FAC documents coded as 3,4,5,6 and 7 (Gender and Social Relations sub-themes)

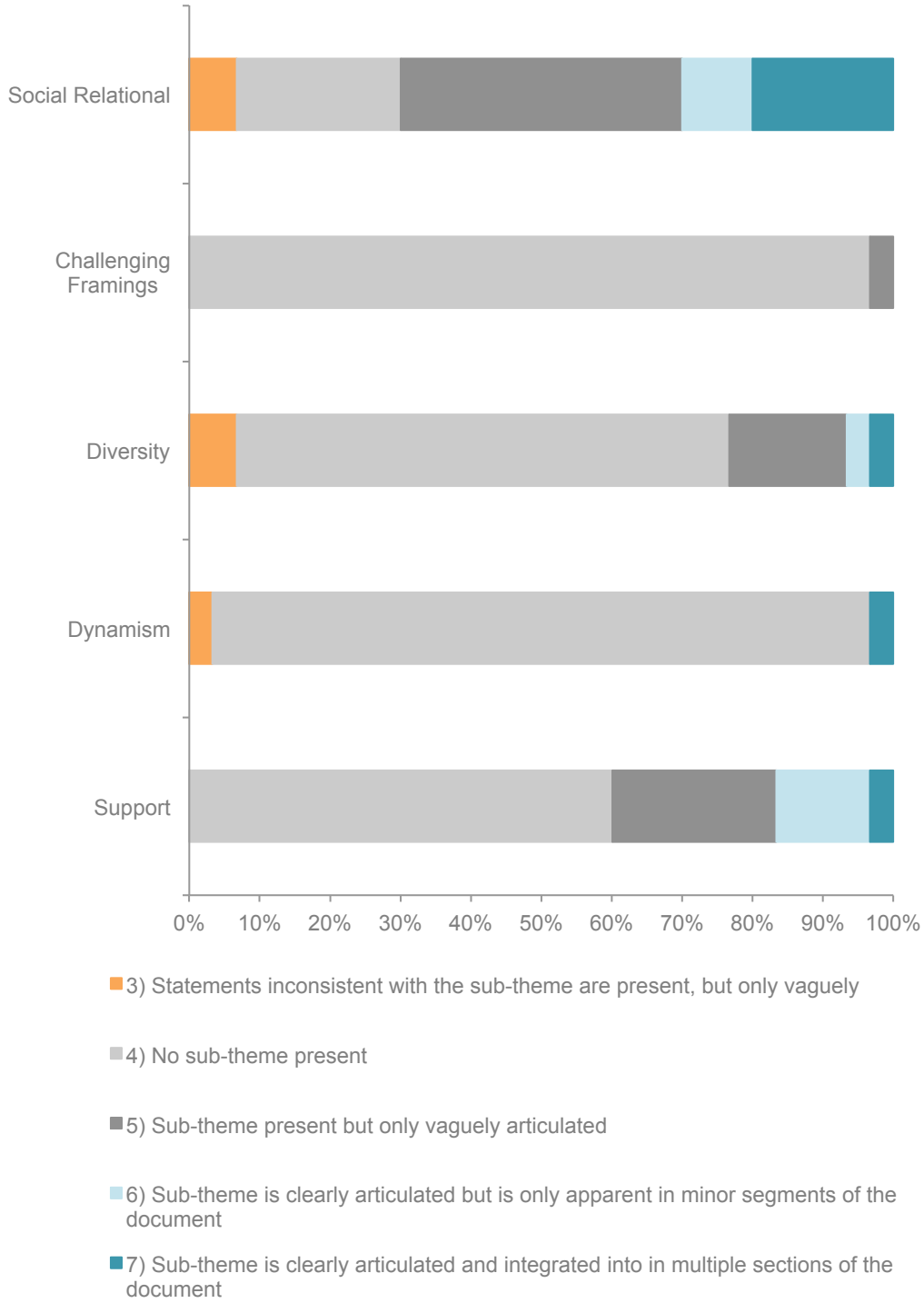
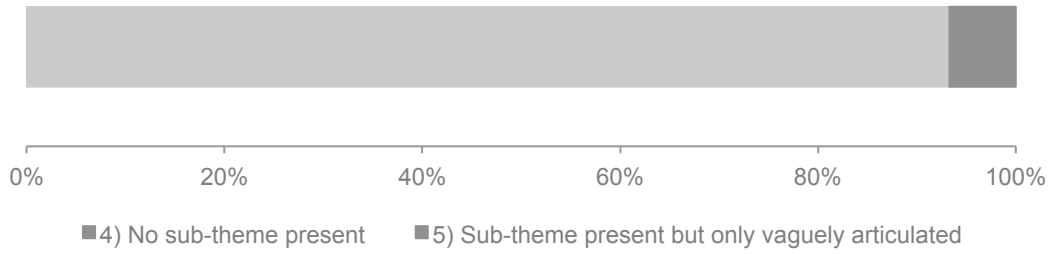


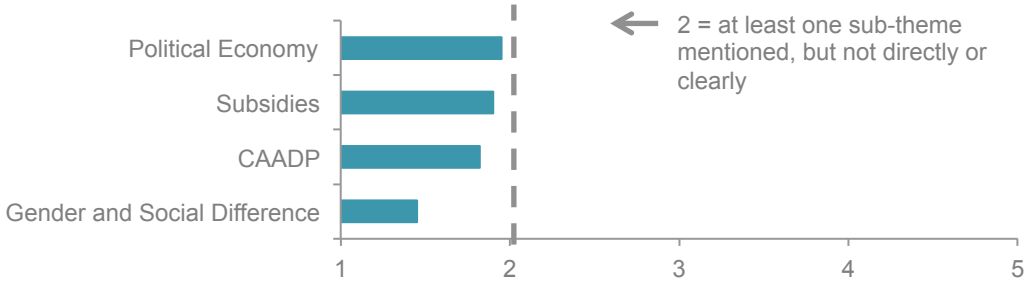
Figure 10: Proportion of FAC documents coded as 4,5,6 and 7 (CAADP)



Research Question 2: To what extent are FAC themes reflected in Malawi policy documents

Depth. Overall, the level of integration among Malawi news and policy documents was low. Average scores ranged from 1.5 (Gender) to 1.95 (Political Economy) on a 1 (not mentioned at all) to 5 (at least one sub-theme mentioned clearly and it is a major focus/priority of the document) (see Figure 11). This suggests the average document in this sample either made no reference to FAC thematic content at all or, where references to FAC themes were evident, they were vague. Such references (level 2) were those that were tangentially connected to FAC themes, but made no specific mention of core elements of the specified sub-themes. The following statement, for example, would obtain a score of two due to its indirect reference to Graduation/Exit, one of the Subsidies related sub-themes: *Government also needs to introduce mechanisation of agriculture. We should move away from the Farm Input Subsidy Programme because it promotes subsistence farming which cannot take this country anywhere," he said.*

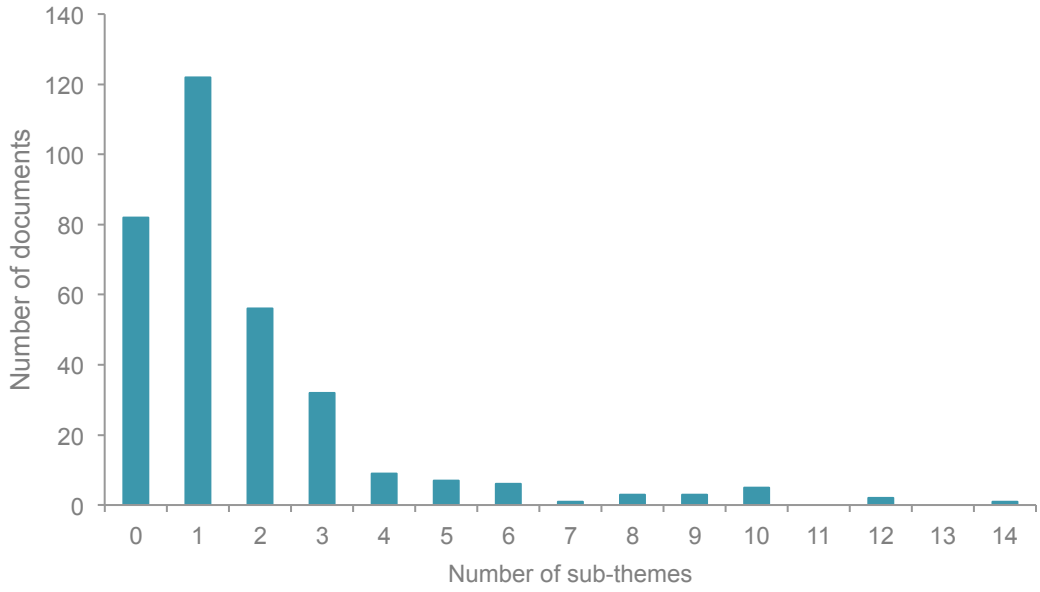
Figure 11: Average level of integration among news and policy documents (FAC themes)



Breadth. To complement the above analysis on depth of thematic integration, the research team also explored breadth of thematic integration through a count of the number

of sub-themes referred to in each document. When coding this variable, coders were instructed to count each sub-theme were only if it could be categorized at a minimum level of 3 (clearly mentioned) on the 1 to 5 scale. Using this approach, the average number of sub-themes mentioned in this sample of Malawian media/policy documents was also fairly low, however there was considerable variability among the documents. Final values for the number of sub-themes variable ranged from 0 to 14, with a mean value of 2. A break down of these values is shown in Figure 12 below.

Figure 12: Number of sub-themes in media/policy documents



Research Question 3: Which document types and sources are most likely to reflect FAC themes?

Like policy actors, there was considerable heterogeneity in the level of thematic integration among documents in this sample. To gain greater insight into the many actors and documents involved, the researchers also ran comparisons between documents based on document type (e.g. news articles, speeches, formal government policy/legislation) and sector (e.g. regional, national government, national news agency, civil society organization). Findings from these analyses are provided below.[4]

Subsidies.

- Among this sample, government policy/legislative documents (M = 2.48) were more likely to incorporate subsidies-related subthemes than conference/meeting materials (M = 1.95), news articles (M = 1.79), and speeches (M = 1.62; F = 6.05, p < .001).

[4] To conduct these analyses, the research team performed a one-way Analysis of Variance. Where assumptions for ANOVA were not met, sensitivity analyses were undertaken by conducting a Kruskal Wallis test, the equivalent non-parametric test. Where the two results differ, the more conservative result is reported.

- On average, newspaper articles and speeches exhibited the lowest levels of thematic integration (see Figure 13).
- Although the mean integration score for internal policy/procedure documents was also higher (M = 2.6) than other document types, the small number of these (n = 5) meant it was not possible to determine whether these results were due to differences in the broader population of internal policy/procedure documents, or simply the result of chance.
- Beyond document type, there were also differences based on sector, such that, on average, civil society organizations (M = 2.56) reflected the highest level of integration (F = 5.58, p < .01) and national news sources reflected the lowest (M = 1.77).
- Comparing document sources, materials produced by CISANET tended to demonstrate the highest level of integration (M = 3.02), whereas the Malawi Voice (M = 1.33) exhibited the lowest (see Figure 15).

Figure 13: Average thematic integration, broken down by document type (Subsidies)

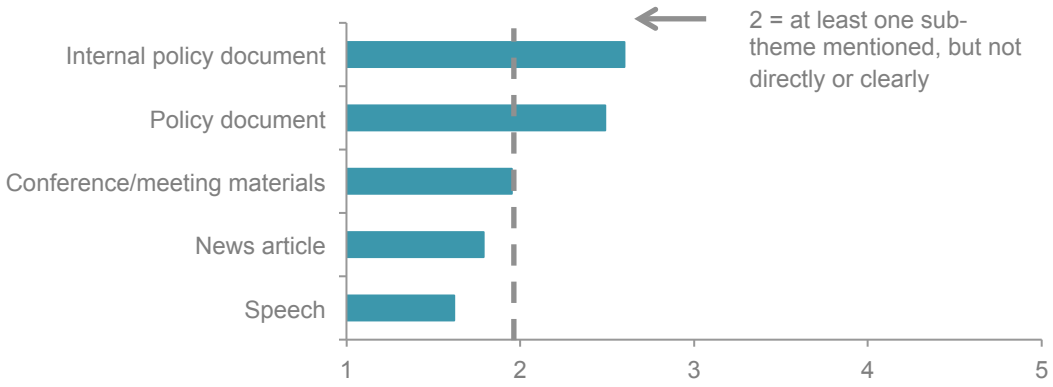


Figure 14: Average thematic integration, broken down by document type (Subsidies)

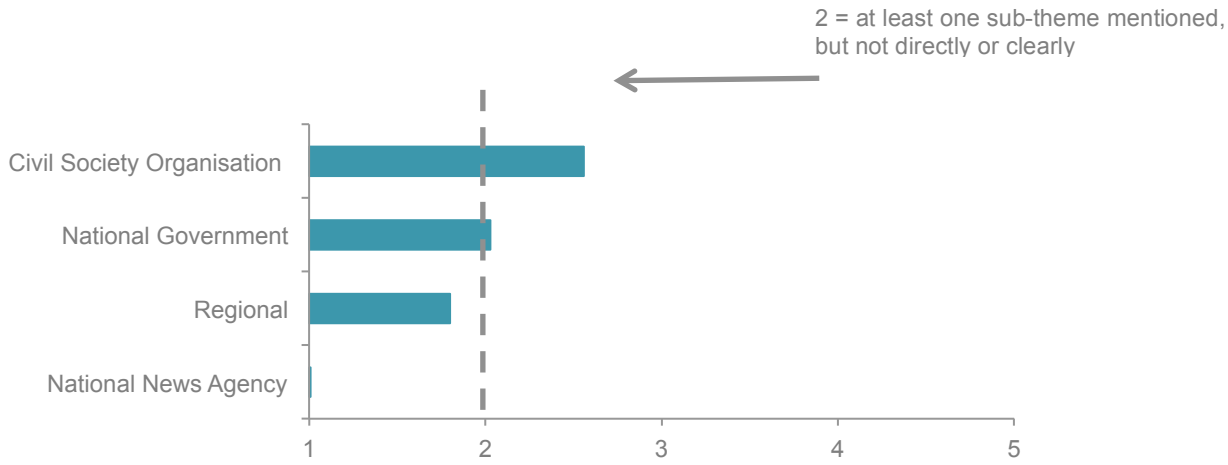
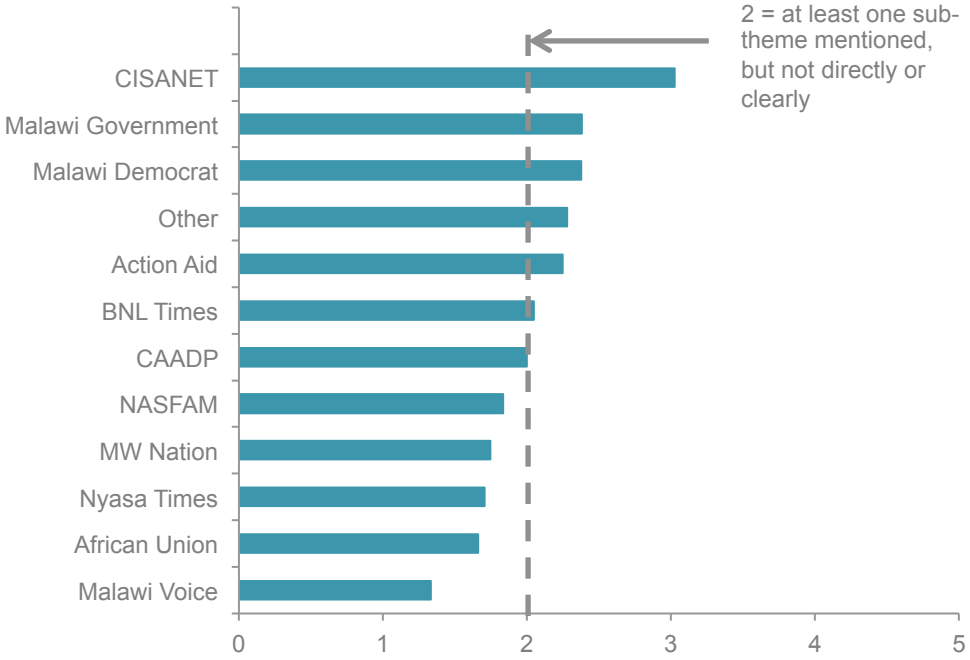


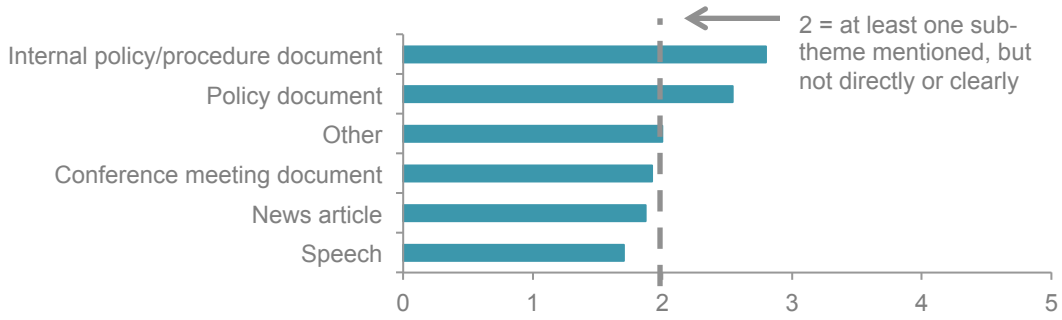
Figure 15: Average thematic integration, broken down by document source (Subsidies)



Political Economy

- Within this sample, formal policy/legislative documents reflected the greatest depth of Political Economy integration (M = 2.54) whereas speeches reflected the least (M = 1.7).
- More specifically, formal policy/legislative documents were significantly more likely than conference materials, news articles and speeches to integrate political economy sub-themes ($F = 5.18$, $p < .01$). These differences may in part be a reflection of the complexity of the policy process: that is, formal policy documents don't necessarily reflect what is said in publicly available documents.
- Beyond document type, there were no significant differences in the level of Political Economy integration among the different sources ($H = 11.88$, $p = .456$), or among the sectors ($F = 1.66$, $p = .177$) on the political economy theme.

Figure 16: Average thematic integration, broken down by document type (Political Economy)



Gender and Social Relations.

- Like the Subsidies and Political Economy themes, internal policy and procedure documents tended to exhibit a high degree of integration (M = 2.80), although statistical comparisons are difficult to perform given the small number of documents in this sub-group.
- When comparing document types, formal policy/legislative documents tended to exhibit significantly higher levels thematic content (M = 2.25) than newspaper articles (M = 1.26), conference/meeting materials (M = 1.38) and speeches *(*M = 1.55; F = 23.169, p < .01).
- This trend was also observed when comparing document sectors (see Figure 18), which demonstrated that national news agencies tended to integrate the gender and social relational sub-themes least *(*F = 13.997, p < .01).
- Among newspaper sources, the Malawi Nation (M = 1.13), Malawi Democrat (M = 1.00) and BNL Times were particularly low on gender integration, although small sample sizes in these latter two groups (n = 4 and n = 10 respectively) make it difficult to identify significant differences.

Figure 17: Average thematic integration, broken down by document type (Gender)

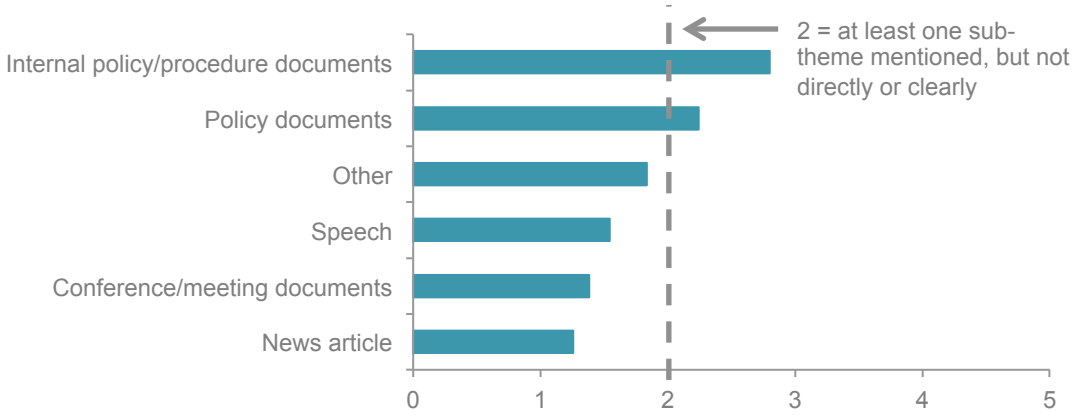
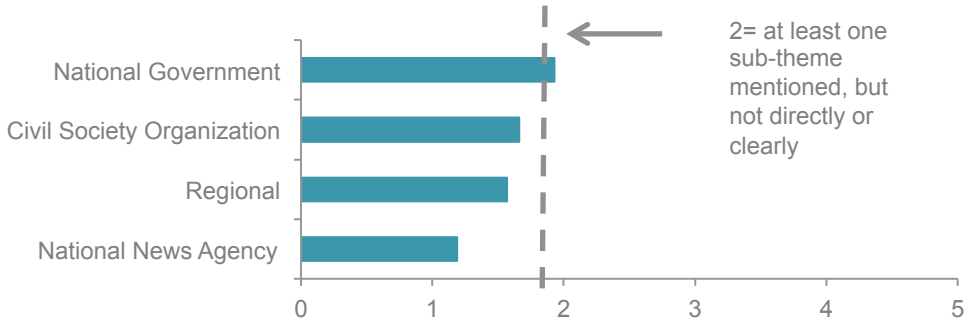


Figure 18: Average thematic integration, broken down by sector (Gender)



CAADP

- There were significant differences in the extent to which documents reflected the CAADP theme based on document type, source and sector.
- On average, conference/meeting notes tended to reflect the highest level of CAADP integration (M = 3.69) while newspaper articles again reflected the lowest (M = 1.16). These differences were significant at the alpha = .01 level (H = -12.83, p < .01)
- There were also significant differences based on level (H = 213.72, p < .01) such that regional documents (e.g. those produce by the AU or CAADP) reflected significantly higher (M = 3.28) levels of CAADP integration than national news (M = 1.00; H =131.81, p < .01), CSOs (M = 1.06; H = 127.57, p < .01) and National Government (M = 1.25, H = 113.91, p < .01).
- Similarly, documents from the African Union and CAADP tended to demonstrate higher levels on integration than other sources (see Figure 21).

Figure 19: Average thematic integration, broken down by document type (CAADP)

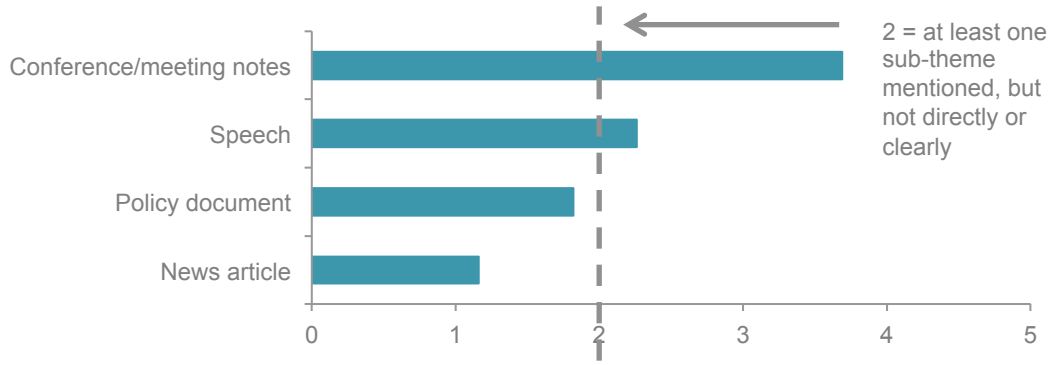


Figure 20: Average thematic integration, broken down by sector (CAADP)

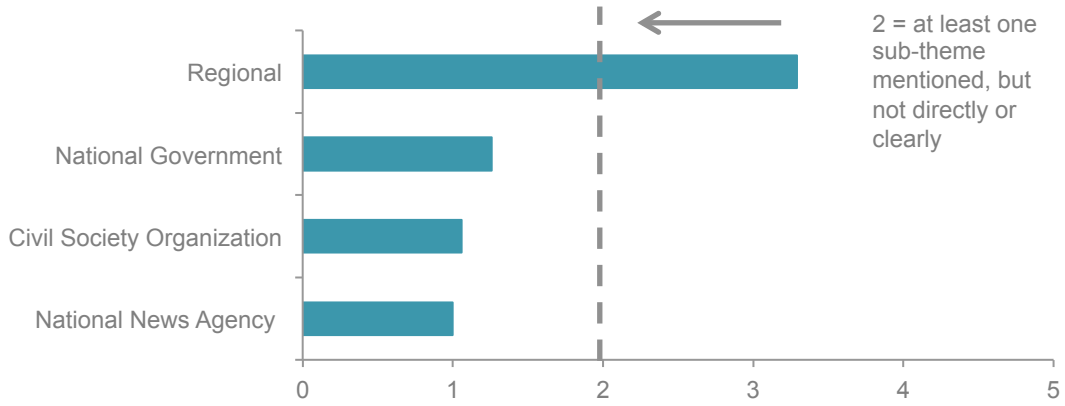
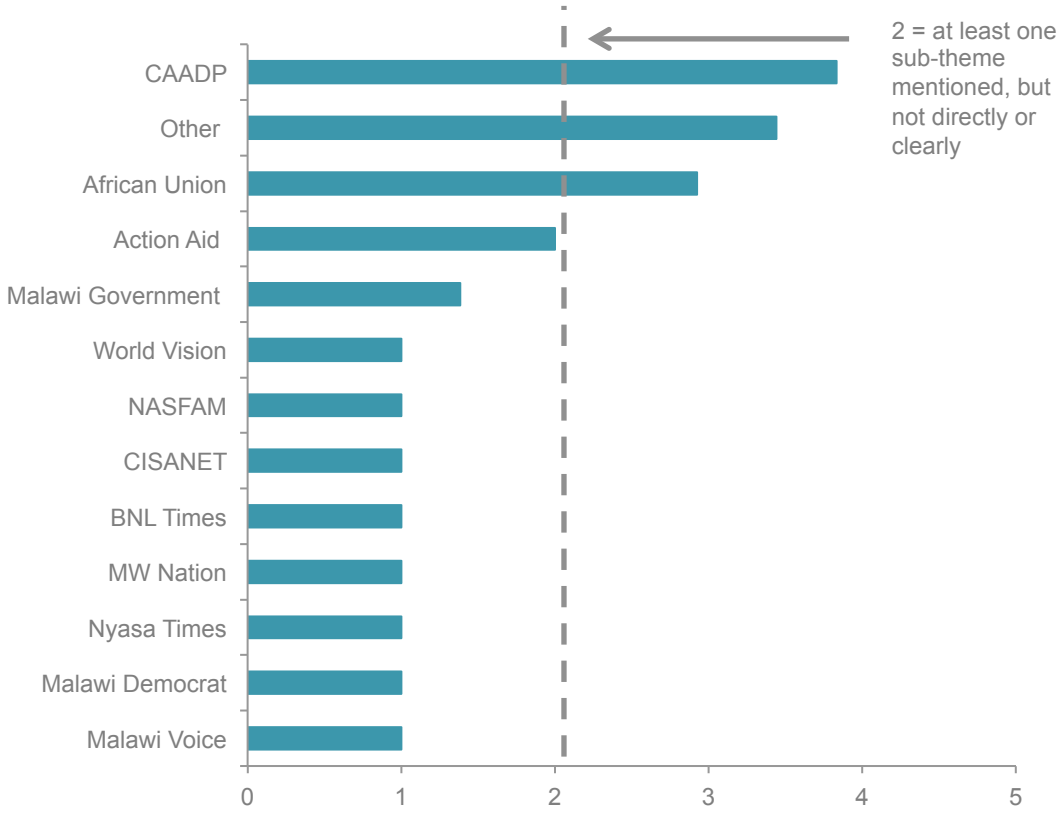


Figure 21: Average thematic integration, broken down by document source (CAADP)



Number of sub-themes.

- Comparisons of the number of sub-themes in each document also indicated significant differences in the breadth of sub-themes incorporated into different document types, whereby internal policy/procedure documents (M = 6.7) tended to incorporate a greater breadth of FAC themes than all other document types (F = 23.88, p < .001).
- Despite this, breadth of integration was also relatively high among formal policy/legislative documents, with the average policy document referring to between four and five FAC sub-themes (M = 4.6).
- As document sources, Action Aid (M = 4.75), the Malawi Government (M = 4.18) and CISANET (M = 3.47) tended to exhibit the greatest number of sub-themes, whereas the BNL Times reported the fewest (M = 1.05).

Research Question 4: Has this changed (increased) over the life of the program?

Recognizing that certain sources and document types were more likely to reflect FAC themes than others, the research team took these factors into account when examining

change over time. Thus, all analyses used to answer research question four held these variables constant; results therefore reflect comparisons among documents with the same source and type.

To answer this question, the research team performed a series of five multiple regression analyses, four examining the thematic depth variables (Extent Subsidies, Extent Political Economy, Extent Gender, Extent CAADP), and one exploring the thematic breadth variable (Number of Sub-themes). In each of these five analyses, document type, document source and year were entered as predictor variables,[5] with the five thematic variables (Extent Subsidies, Extent Political Economy, Extent Gender, Extent CAADP and Number of sub-themes) as outcome variables.

Results indicate that within this sample there was not enough evidence to suggest change over time on any of the five outcome variables. Mean scores for each of these variables, disaggregated by year, are shown in Figures 22 through 26 below.

Figure 22: Average thematic integration over time (Subsidies), n=312

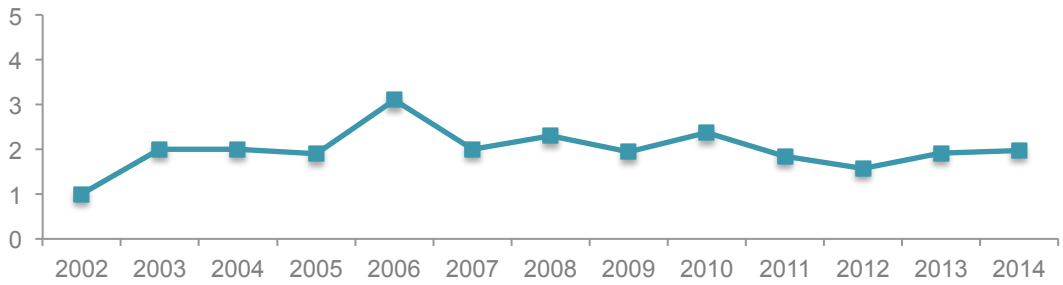
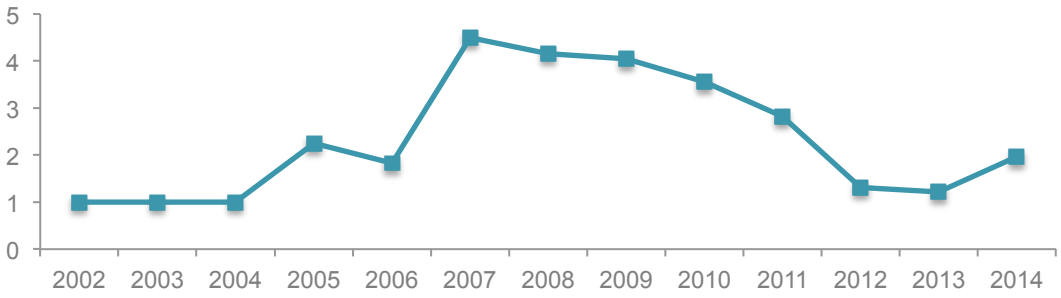


Figure 23: Average thematic integration over time (CAADP), n=312



[5] Document type was entered at step one, document source at step two, and year at step three.

Figure 24: Average thematic integration over time (Gender), n=312

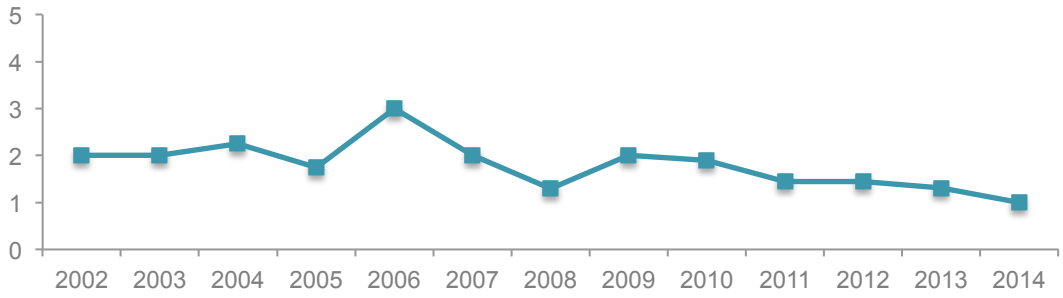


Figure 25: Level of thematic integration over time (Political Economy), n=312

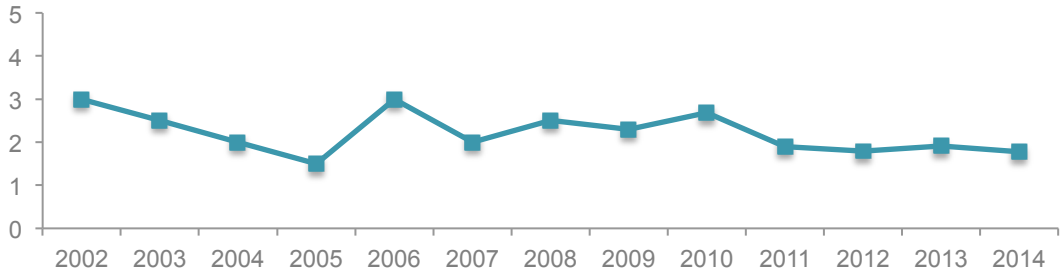
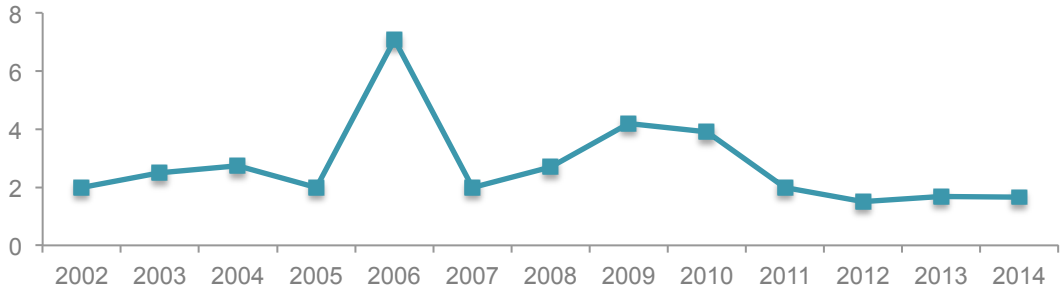


Figure 26: Average thematic integration over time (Number of sub-themes)



Although statistical pre/post comparisons contrasting documents before FAC (prior 2005) and after FAC (after 2005) are problematic due to the small number of 'before' documents (n=8), tentative comparisons of the mean before/after scores are displayed below. Figures 27 through 30 suggest that in this sample there were increases across the four breadth variables; however, without additional data, reliable statistical comparisons are difficult.

Figure 27: Before/After comparison of thematic integration (Subsidies)

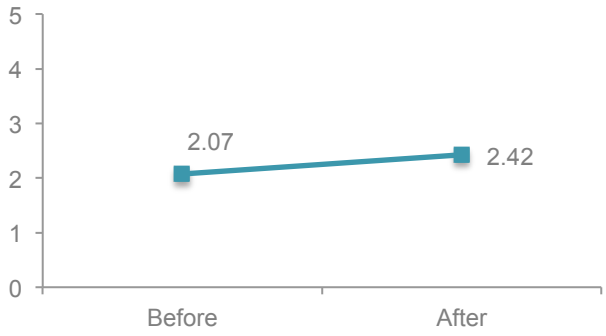


Figure 28: Before/After comparison of thematic integration (CAADP)

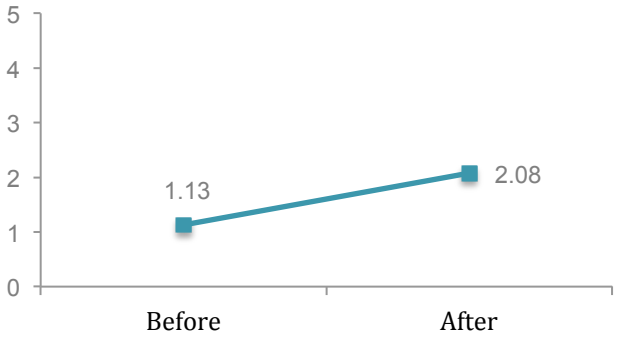


Figure 29: Before/After comparison of thematic integration (Gender)

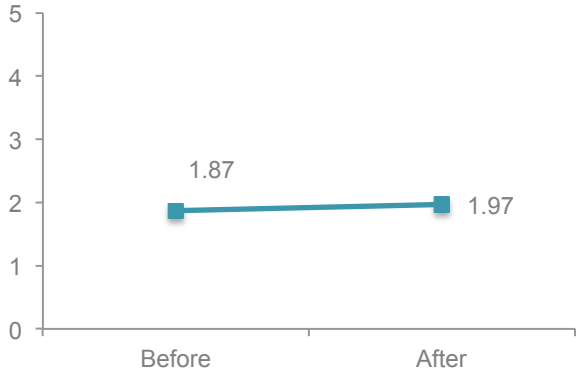
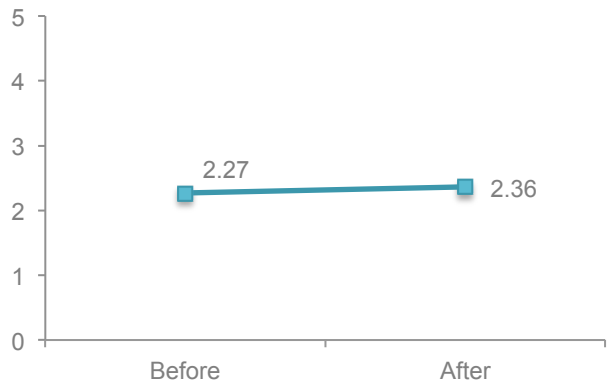


Figure 30: Before/After comparison of thematic integration (Political Economy)



Research Question 5: What factors predict whether FAC themes will be reflected in policy documents?

In addition to the three variables considered above (document source, document type and year), two additional variables were tested to assess whether they also contributed to predicting the extent and breadth of thematic integration. These additional two variables (Direct Reference and Food Crisis) examine (1) whether documents that contain a direct reference to FAC staff or partners are more likely to incorporate FAC sub-themes, and (2) whether there is a relationship between external events (in this case a food crisis) and level of integration. This latter variable was created based on the document year, where years coded as 2001, 2002, 2004, 2005, 2012 and 2013 as years where there was a food crisis.

In conducting these analyses the research team conducted multiple regression analyses, with document type entered at step one, document source entered at step two, and the variable of interest entered at step three. Findings are reported below.

Direct Reference

- Among materials of the same type and with the same source, documents that contain a direct reference to FAC staff members tend to contain a greater number of references than those that do not ($t = 2.702$, $p < .01$). On average, documents that refer to FAC partners, on average, include approximately one more sub-theme than documents that do not.
- On all other thematic variables there were no significant differences when comparing those that refer to FAC partners and those that do not.

Food Crisis

- For documents of the same type and with the same source, the existence of a food crisis did not contribute to predicting either the breadth or depth of thematic integration for any of the thematic variables.

Ch 4

Limitations & Conclusions

Limitations

Several limitations to the design and methodology were identified. First and foremost, the original design, a pre/post comparison of documents produced before the FAC intervention and those produced after, proved to be infeasible due to difficulties identifying pre-2005 documents. Instead, the current correlational design, which focused on assessing change over time, was adopted to ensure the trial could move forward. This approach was inherently problematic, primarily because it sought to identify a linear trend over time. However, effects, when observed as a result of social programs, are often not linear (Lipsey, 1990). Instead there may be evidence of immediate effects followed by a slow drop off, or a delayed reaction such that effects appear some time after the program has ended. It is not clear whether the results of a program like the FAC are expected to be linear; thus, is if this type of study were to be repeated, the researchers should assess at the outset whether such a linear trend is expected.

Related to this, the sampling methodology was not ideal. As noted earlier, the challenges surrounding in-country document identification meant the CEC adopted an alternate approach to sampling by relying on online sources. While the sample reflects a broad range of online materials it is not clear whether these online documents represent an exhaustive list of potential policy/news documents from Malawi. A more ideal approach would have been to allocate time for one individual to spend time in country developing a more representative sampling frame, then randomly sampling from this pool of documents. Thus, any findings from this study should not be generalized beyond the sample.

Conclusions

This QCA was conducted to support UQ's evaluation of the Future Agricultures Consortium. One key focus of that evaluation is to examine the influence of FAC research on agricultural policy in Africa. In support of this goal, this QCA sought to examine: (1) the extent to which FAC themes are reflected in their own documents, (2) the extent to which FAC themes are reflected in agriculture-related media and policy documents, (3) any changes in the depth and breadth of thematic integration over the life of the project, and (4) to identify factors that predict levels of integration across media and policy documents. Findings suggest:

1. Varying levels of thematic integration of the four thematic areas within and across FAC produced documents. The Subsidies and Political Economy themes are reflected more consistently and extensively than the CAADP and Gender & Social Difference themes.

2. Typically low levels of integration in externally produced documentation.

3. Differing levels of integration across document type and source, with internal policy/procedure documents tending to exhibit the highest level of integration across most thematic areas. That said, this should be interpreted with caution given the small number of internal policy/procedure documents analysed.

4. No evidence of an increasing trend in the depth or breadth of thematic integration during the life of the FAC program.

5. Tentative signs of increases in depth and breadth of thematic integration when comparing documents produced before and after the FAC intervention.

6. Documents with direct reference to FAC partners typically refer to a greater number of FAC sub-themes than those that do not.

Beyond the findings themselves, this study represents an early effort to apply the quantitative content analysis methodology to policy impact evaluations in international development. Key lessons include the need to dedicate resources to focus on document collation; a recognition of the need to dedicate time early on to work with stakeholders and identify potential external factors that should be accounted for when running analyses; and the importance of ensuring the initial sampling frame is as extensive and representative as possible. Reliance on online sources for the bulk of sample documents, while useful in this case as a means to move the trial to forward, is not recommended for future applications of the method. Thus, despite noted challenges, particularly with respect to reliably sourcing and sampling documents, the authors believe there is great potential for the method to be applied and expanded upon in the future.

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Sarah Mason, MA & Tarek Azzam, Ph.D.
Claremont Evaluation Center,

Annex 1: Sampling Frame

Source	Document Type	Number Available
African Union website	*Decisions and Declarations of the Annual Assembly*	*57*
African Union website	*Speeches – Commissioner for Rural Economy and Agriculture*	*95*
CAADP website	*Newsletters*	*11*
CAADP website	*Policy Documents*	*6*
CAADP website	*Meeting Documents*	*208*
Malawi Government	*Policy Documents*	*11*
Mana Online – Government News Source	*News Articles (search key word agriculture)*	*18*
Media Outlets	*News Articles (search key word Agriculture at the following news agencies:* • *Malawi Voice* • *Malawi Democrat* • *Maravi Post* • *Nyasa Times* • *MW Nation* • *BNL Times*	*3526*
Civil Society Organizations	*Website searches at the following websites:* • *CISANET* • *Farmers Union of Malawi* • *NASFAM* • *World Vision* • *Concern* • *Action Aid*	*48*
		3980

Annex 2: Final Codebook for external media & policy documents

Variable Name	Type	Conceptual Definition	Levels	Operational Definition
Document_Type	Manifest Categorical	What type of document is it?	1=news article 2=speech 3=policy document (includes AU Decision / Declaration) 4=conference, presentation or meeting document 5=internal policy/ procedure document 6=other 99=missing	Look at the document title, header or publisher to identify document type.
Year	Manifest Categorical	What year was the document published?	0=2000 1=2001 2=2002 3=2003 4=2004 5=2005 6=2006 7=2007 8=2008 9=2009 10=2010 11=2011 12=2012 13=2013 14=2014 99=missing	Look at document title or header to identify year. If more than one date provided, take the earliest date.
Document_Source	Manifest Categorical	Who published the report?	1=African Union 2=CAADP 3=Malawi Government 4=Malawi Voice	Look at document title, front page, header or byline. Code any document published by NEPAD as the African Union.

			5=Malawi Democrat 6=Maravi Post 7=Nyasa Times 8=MW Nation 9=BNL Times 10=CISANET 11=Farmers Union of Malawi 12=NASFAM 13=World Vision 14=Concern 15=Action Aid 16=other 99=missing	Code any document produced by a Malawi Ministry, parliament or other government body as 3. If there are two publishing bodies, code the first only. If there are two publishing bodies but only one is identified in this list, code for the one provided in this list.
Extent_Subsidies	Latent Rubric	To what extent does the document reflect FAC themes relating to the Malawi input subsidies programme?	1=no sub-theme mentioned at all 2=at least one sub-theme mentioned, but not directly or clearly 3=at least one sub-theme clearly mentioned but it is not a priority. 4=at least one sub-theme mentioned and it is somewhat a priority. 5=at least one sub-theme mentioned clearly and it is a major focus/priority of the document.	See Annex A for overview of Subsidy-related sub-themes. Look for reference of sub-themes in document title and body. When considering whether the sub-theme is a priority, consider: • Number of times the sub-theme is mentioned (more times reflects greater priority) • Positioning within the document (closer to the beginning of the document reflects a higher priority) • Specificity with which the sub-theme is addressed (more detail reflects greater priority) See Annex E for examples of levels 1-5.

				Where a document does not directly reference subsidies, the highest value it can obtain is a 2.
Extent_PoliticalEconomy	Latent Rubric	To what extent does the document reflect FAC themes relating to political economy thinking?	1=no sub-theme mentioned at all 2=at least one sub-theme mentioned, but not directly or clearly 3=at least one sub-theme clearly mentioned but it is not a priority. 4=at least one sub-theme mentioned and it is somewhat a priority. 5=at least one sub-theme mentioned clearly and it is a major focus/priority of the document.	See Annex B for overview of Political Economy-related sub-themes. Look for reference of sub-themes in document title and body. When considering whether the sub-theme is a priority, consider: • Number of times the sub-theme is mentioned (more times reflects greater priority) • Positioning within the document (closer to the beginning of the document reflects a higher priority) Specificity with which the sub-theme is addressed (more detail reflects greater priority). See Annex E for examples of levels 1-5. Where a document does not directly reference agriculture, the highest value it can obtain is a 2
Extent_CAADP	Latent Rubric	To what extent does the document reflect FAC themes relating to the CAADP?	1=no sub-theme mentioned at all 2=at least one sub-theme mentioned, but not directly or clearly 3=at least one sub-theme clearly	See Annex C for overview of CAADP-related sub-themes. Look for reference of sub-themes in document title and body. When considering whether the sub-theme is a priority, consider:

			mentioned but it is not a priority. 4=at least one sub-theme mentioned and it is somewhat a priority. 5=at least one sub-theme mentioned clearly and it is a major focus/priority of the document.	• Number of times the sub-theme is mentioned (more times reflects greater priority) • Positioning within the document (closer to the beginning of the document reflects a higher priority) • Specificity with which the sub-theme is addressed (more detail reflects greater priority, as does the) See Annex E for examples of levels 1-5.
Extent_Gender	Latent Rubric	To what extent does the document reflect FAC themes relating to Gender and Social Difference?	1=no sub-theme mentioned at all 2=at least one sub-theme mentioned, but not directly or clearly 3=at least one sub-theme clearly mentioned but it is not a priority. 4=at least one sub-theme mentioned and it is somewhat a priority. 5=at least one sub-theme mentioned clearly and it is a major focus/priority of the document.	See Annex D for overview of Gender-related sub-themes. Look for reference of sub-themes in document title and body. When considering whether the sub-theme is a priority, consider: • Number of times the sub-theme is mentioned (more times reflects greater priority) • Positioning within the document (closer to the beginning of the document reflects a higher priority) Specificity with which the sub-theme is addressed (more detail reflects greater priority). See Annex E for examples of levels 1-5.
Subtheme_Mentioned	Latent	Is the sub-theme	0=no	Code as yes as yes if sub-theme is

[one for each variable]	Dichotomous	reflected in the document	1=yes	considered level 3 or above
Number_Subthemes	Latent Continuous	How many sub-themes are reflected in the document	Count	Calculated based off sum of all Subtheme_Mentioned variables.
Direct_Reference	Manifest Dichotomous	Does the document directly reference FAC or any of its key partners and staff members?	0=No 1=Yes	In longer documents, use search function to search for the following names. Code as yes if the document mentions: • Future Agriculture Consortium • Wadonda Consult • Bunda College, University of Malawi • Centre for Development, Development and Policy (CeDEP) • School of Oriental and African Studies (SOAS), University of London • Institute of Development Studies (IDS) • Overseas Development Institute (ODI) • Blessing Chinsinga • Eprhaim Chirwa • Mirriam Matita • Peter Mvula • Maxwell Tsoka • Andrew Dorward • Stephen Devereux • Rachel Sabates Wheeler

				• Rachel Slater • Kate Wellard Dyer

**** Note: for long documents, use the table of contents to identify potential sections of the document that may be relevant. Also search the documents for key words: agriculture, subsidy, gender, CAADP, politic to aid in targeting your analysis**

Annex A – Subsidy Sub-Themes

Subsidies

- **Pragmatism**
  - Rigid policy against subsidies (or any other policy) is inappropriate. Second best options that work in a given context are preferable to dogmatic, one size fits all policy approaches. Knowledge of contextual history, stakeholders' interests and the political economy of agriculture are important.
- **Research & Evidence**
  - There needs to be new research (and evaluation) on agricultural input subsidies. Research should include:
    - A wider set of impacts (e.g. the role of subsidies in promoting structural change)
      - For example: Although the subsidy has had some negative impacts on the private sector (e.g. short term displacement), over the medium term it appears to have helped to raise the demand for fertilisers and improved seeds.
    - Implementation issues (e.g. how subsidies are delivered, the type of crops targeted [food crops vs cash crops], tendering, geographical allocations, farmer contributions, timing of inputs, registration, payment processes for contractors)
    - Studies of the complementary policies (e.g. infrastructure).
    - Considerations about the fiscal sustainability of the fertilizer programme (aka FISP)
  - *(Include in here any reference to evaluations of the subsidy program)*
- **Complementary policies**
  - The effectiveness of input subsidies depends on complementary policies affecting agricultural output (staple food), e.g. prices, investment, roads, communications, extension services, research, integrated soil fertility management etc
- **Monopoly issues**
  - Malawi's seed industry is dominated by multinational seed companies. Seeds supplied by multinational companies are privileged at the expense of the national breeding programme. Local seed companies control only 10 per cent of the seed market.
- **Access**
  - Gaining access to high quality and improved seed or fertiliser at affordable prices is a problem for many smallholder farmers.
  - The dominance of multinational companies in the seed industry creates an environment where farmers are offered a narrow range of products (hybrid maize) and where alternative cereal systems (e.g. sorghum, millet) are on the verge of extinction
  - ADMARC and SFFRFM have an important role as suppliers in remoter areas
  - Greater involvement of the private sector could improve access and develop the private sector network.
- **Local Industry**

- There is an urgent need for a strong, locally based seed industry. Other countries' economies (e.g. those in Asia) have been able to benefit from liberalization because they had strong local seed companies.
- National R&D and marketing institutions are critical to developing seed systems that meet the needs of farmers
- Exclusion of agro dealers from the retail distribution of subsidised fertilisers is not helpful.

- **Uneven Benefits**
  - The benefits of national and donor-led subsidy interventions are unevenly distributed and primarily benefit the elites.
  - Vulnerable households (e.g. the poor and elderly) are less likely to receive fertilizer coupons and receive less of the subsidized fertilizers.
- **Regulation**
  - There is a need for improved local accountability in the seed industry.
  - Regulatory frameworks within the seed industry need to be improved. Many of the monopoly issues arise because there is weak enforcement of policy in the seed industry.
  - There is an urgent need to develop and implement a policy and institutional framework for the agro-dealership that outlines legitimate practices (cf corruption) and expectations.
- **Targeting**
  - There are major difficulties with targeting subsidy programmes
  - There is a need to consider programme objectives when developing targeting systems (e.g. geographic allocations).
  - For example, it is important to consider the subsidy programme's goals with respect to productivity, welfare growth, and graduation objectives. It is also important to consider who the subsidy programme is seeking to benefit. This will shape the beneficiaries and areas that are targeted.
  - The effects of specific targeting approaches should be subject to research.
- **Effects**
  - There is only weak evidence that changes in welfare indicators can be directly attributed to receiving subsidies.
  - The subsidy programme's indirect effects may be greater than its direct impacts.
  - Households tend to benefit from the economy-wide impact of the subsidy programme through wider availability of maize and increased ganyu (labour) rates that have occurred since the subsidy programme was introduced.
- **Graduation**
  - Graduation should be included as an indicator of success for the subsidy programme.
  - There should be discussion around graduation, termination or exit from the subsidy programme.

Annex B - Political Economy Sub-Themes

Political Economy

- **Political Economy Thinking**
  - OECD Definition: Political economy analysis is concerned with the interaction of political and economic processes in a society: the distribution of power and wealth between different groups and individuals, and the processes that create, sustain and transform these relationships over time
- **Politics matter**
  - Agricultural policy is shaped by political interests. Politics matters in the development and implementation of policy. Good technical recommendations do not make their way into policy unless there is support from the politically powerful.
  - Ideas about good policy change evolve not because of persuasiveness of technical evidence but rather on the basis of changing configurations of interest among powerful groups.
- **Policy narratives**
  - Policy narratives – stories of policy change with a beginning, middle and end – provide both a diagnosis and a set of proposed measures and interventions. Some narratives tend to gain more authority and have more bearing on policy decisions
  - In Malawi key narratives include:
    - The Green Revolution Narrative – which emphasises market-based technology adoption of new hybrid seeds and artificial fertilizers. It is a dominant narrative that is broadly supported by powerful private interests and many donors.
    - The Food Security Narrative, which stresses the need to increase productivity through the adoption of new agricultural technologies, and to increase aggregate maize output on a national level.
    - The Diversification Narrative – e.g. improving productivity and food security through diversification of production (beyond maize), wider use of inputs (using a range of seeds and fertilizers) and on/off farm livelihood strategies (less dominant)
- **Incentives**
  - A country's political system generates incentives (either strong or weak) for the state to take action to promote agricultural development. This political system also influences the type of development programme promoted (e.g. smallholder or large farm based)
  - It is important to identify the political and economic incentives that shape agricultural policy. Such incentives will shape the policies and investments for agricultural development that are "politically feasible" in different country contexts
- **International Actors [***NB: this includes Donors, Private Input Suppliers]*
  - International actors shape agricultural policy in Malawi. E.g. The dominance of multinationals occurs with the support of international donors who want to kickstart private sector development through multinational seed companies
- **Maize**

- Maize plays a critical role in shaping the social contract between the state and the citizens. The legitimacy of the Malawi state is closely linked to its ability to make maize available, either through its subsidized production or affordable prices in the market.
- This 'lock in' to a single, dominant crop has led to over-investment in the maize sector (e.g. policy support, resource allocation, infrastructure development, technical training and education) at the expense of other crops. It also increases dependence on external suppliers of improved seed and fertilizer. This path dependence creates a self-reinforcing feedback loop that narrows choice, squeezes out viable alternatives and increases vulnerability

Annex C – CAADP Sub-Themes

CAADP

- Domestic political incentives determine how and why countries engage with the CAADP process. The major question for CAADP is therefore how to strengthen political incentives for investing in smallholder agriculture.
  - Incentives are strong when a government perceives that it hast to prioritise investment in smallholder agriculture to remain in power
  - Incentives are also strong when governments recognize they could be vulnerable to overthrow if they do not generate broad-based benefits for rural populations

Annex D – Gender & Social Difference Sub-Themes

Gender Sub-Themes

Social Relational

- Problems of social disadvantage need to be analysed and addressed in the context of social relations (i.e. gender, class, age, marital status)
- People operate within different social, economic and political contexts, not as isolated individuals. For example: rural populations are not simply collections of isolated individuals with interests as farmers, but also have identities associated with gender, age, class etc.
- Social relations of different kinds often act together in the production and reproduction of disadvantage
- This social relational view of gender should be incorporated into agricultural development policies

Challenging Framings

- Gender does not equate with women
- Discussions about gender do not put men and women in opposition to one another.

Diversity

- Women and men are diverse social groupings with multiple identities, e.g. as spouses, co-workers, parents, siblings and so on.
- There is a need to be sensitive to differences within the different categories of women and men, and to incorporate other forms of social difference.
- Social groupings are also diverse. For example, household forms (the role people play within a household) are not set in stone. Similarly, all rural areas are not the same.

Dynamism

- Gender relations are not static: men & women seek to maintain or re-negotiate these to meet their own interests

Support

- There should be discussion around the types of support men and women will need if they are to benefit from and adapt to change.

Annex E – Samples of Levels 1 to 5

Level	Sample
1=no sub-theme mentioned at all	http://timesmediamw.com/malawi-president-bemoans-agriculture-extension-worker-shortage/ Categorized as 1 in all themes because no themes or sub-themes mentioned.
2=at least one sub-theme mentioned, but not directly or clearly	http://timesmediamw.com/economists-offer-malawi-president-guidance/ Categorized as 2 in theme **Subsidies** because of the indirect reference to sub-theme **Graduation** through the statement: *Government also needs to introduce mechanisation of agriculture. We should move away from the Farm Input Subsidy Programme because it promotes subsistence farming which cannot take this country anywhere," he said.*
3=at least one sub-theme clearly mentioned but it is not a priority.	http://timesmediamw.com/reserve-bank-governor-for-alternatives-to-aid/ Categorized as 3 in theme **Subsidies** because of reference to sub-theme **Complementary policies.** Third paragraph notes: *Chuka said the state of infrastructure in the country that can support agriculture, including rural roads, remain poor hence needs financing.*
4=at least one sub-theme mentioned and it is somewhat a priority.	http://timesmediamw.com/malawis-farmers-still-waiting-for-agriculture-subsidies/#disqus_thread Categorized as 4 in theme **Subsidies** because of the reference to sub-theme **Vulnerable Households.** First paragraph (earlier placement indicates higher priority) mentions: *Many farmers are yet to access farm inputs while desperate ones are forced to receive half less than what they are expected to get.*
5=at least one sub-theme mentioned clearly and it is a major focus/priority of the document.	http://www.malawivoice.com/2013/08/12/food-security-and-defiance-of-donors/ Categorised as 5 in theme **Political Economy** because of the priority placed on the political role of international donors. Sub-theme: **International Donors.** Donors are referred to in the headline, and donor agencies are referred to multiple times throughout the document playing a

	political role in influencing domestic agricultural policy. There are also indirect references to subtheme **Politics Matter** through quotes from the president, which suggest he has a political interest in the subsidies programme.

Annex 3: Final Codebook for coding FAC documents

Variable Name	Type	Conceptual Definition	Levels	Operational Definition
Year	Manifest Categorical	What year was the document published?	1=2005 2=2006 3=2007 4=2008 5=2009 6=2010 7=2011 8=2012 9=2013 10=2014 99=missing	Look at document title, byline, header or footer to identify year. If more than one date provided, take the earliest date.
Document_Type	Manifest Categorical	What type of FAC document is it?	1=Research Paper 2=Working Paper 3=Presentation 4=Policy Brief 5=Discussion Paper 99=missing	Look at document title, header, footer or file name to identify document type. If missing, search for document title on FAC website to identify document type.
Num_Gender	Manifest Continuous	Number of times 'gender' is mentioned in the document	Scale. Count number of times the word gender is mentioned in the document.	Use search function to search for and count number of times gender is mentioned.
Num_Male	Manifest Continuous	Number of times men are referred to in the document	Scale. Count number of times 'male' 'men' or 'man' are mentioned in the document.	Use search function to search for and count the number of times the following words are used: • Male • Men • Man • Father
Num_Female	Manifest Continuous	Number of times women	Scale. Count number of times 'female' 'women' or 'woman' are mentioned in	Use search function to search for and count the number of times the

		are referred to in the document	the document.	following words are used: • Female • Women • Woman • Mother
Primary_Focus	Latent Categorical	Is gender the document's primary focus?	0=no 1=yes	Look at the document title, abstract (if one), first paragraph and last paragraph to identify whether the document's primary focus is on gender. Code as yes if gender is mentioned in the title, or if gender is the key focus of the abstract, initial paragraph or final paragraph.
Extent_SocialRelational	Latent Semantic Differential	To what extent is the social relational sub-theme integrated into the document?	Range: 1(inconsistent) to 7(consistent)	1=arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document 2=arguments inconsistent with the sub-theme are clearly present but only in minor segments of the document 3=arguments inconsistent with the sub-theme are present, but only vaguely 4=sub-theme is not present at all 5=sub-theme present but only vaguely articulated 6=sub-theme is clearly articulated but is only apparent in minor segments of the document

				7= sub-theme is clearly articulated and integrated into in multiple sections of the document
Extent_Challenge	Latent Semantic Differential	To what extent is the challenging frameworks sub-theme integrated into the document?	Range: 1(inconsistent) to 7(consistent)	1=arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document 2=arguments inconsistent with the sub-theme are clearly present but only in minor segments of the document 3=arguments inconsistent with the sub-theme are present, but only vaguely 4=sub-theme is not present at all 5=sub-theme present but only vaguely articulated 6=sub-theme is clearly articulated but is only apparent in minor segments of the document 7= sub-theme is clearly articulated and integrated into in multiple sections of the document
Extent_Diversity	Latent Semantic Differential	To what extent is the diversity sub-theme integrated into the document?	Range: 1(inconsistent) to 7(consistent)	1=arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document 2=arguments inconsistent with the sub-theme are clearly present but only

				in minor segments of the document 3=arguments inconsistent with the sub-theme are present, but only vaguely 4=sub-theme is not present at all 5=sub-theme present but only vaguely articulated 6=sub-theme is clearly articulated but is only apparent in minor segments of the document 7= sub-theme is clearly articulated and integrated into in multiple sections of the document
Extent_Dynamism	Latent Semantic Differential	To what extent is the dynamism sub-theme integrated into the document?	Range: 1(inconsistent) to 7(consistent)	1=arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document 2=arguments inconsistent with the sub-theme are clearly present but only in minor segments of the document 3=arguments inconsistent with the sub-theme are present, but only vaguely 4=sub-theme is not present at all 5=sub-theme present but only vaguely articulated

				6=sub-theme is clearly articulated but is only apparent in minor segments of the document 7= sub-theme is clearly articulated and integrated into in multiple sections of the document
Extent_Support	Latent Semantic Differential	To what extent is the support sub-theme integrated into the document?	Range: 1(inconsistent) to 7(consistent)	1=arguments inconsistent with the sub-theme are clearly articulated and integrated into multiple sections of the document 2=arguments inconsistent with the sub-theme are clearly present but only in minor segments of the document 3=arguments inconsistent with the sub-theme are present, but only vaguely 4=sub-theme is not present at all 5=sub-theme present but only vaguely articulated 6=sub-theme is clearly articulated but is only apparent in minor segments of the document 7= sub-theme is clearly articulated and integrated into in multiple sections of the document

Gender Sub-Themes

Social Relational

- Problems of social disadvantage need to be analysed and addressed in the context of social relations (i.e. gender, class, age, marital status)
- People operate within different social, economic and political contexts, not as isolated individuals. For example: rural populations are not simply collections of isolated individuals with interests as farmers, but also have identities associated with gender, age, class etc.
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- There is a need to be sensitive to differences within the different categories of women and men, and to incorporate other forms of social difference.
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Dynamism

- Gender relations are not static: men & women seek to maintain or re-negotiate these to meet their own interests

Support

- There should be discussion around the types of support men and women will need if they are to benefit from and adapt to change.

APPENDIX 5: LIST OF THOSE CONSULTED

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List of consultees				Big Picture	Impact event
FAC hub operations and management key informants					
Name	Organisation	Role	Type		
John Thompson	FAC UK, Institute for Development Studies	European Hub Convener / Theme Co-convenor, STI	FAC	✓	
Nathan Oaxley	FAC UK, Institute for Development Studies	Communications (European Hub)	FAC	✓	
Oliver Birch	FAC UK, Institute for Development Studies	Team Administrative Coordinator	FAC	✓	
Colin Poulton	FAC UK, School of Oriental and African Studies, UCL	Theme Convenor, Policy Processes	FAC	✓	IS 6
Stephen Devereux	FAC UK, Institute for Development Studies	Theme Convenor, Agricultural Growth and Social Protection	FAC		IS 7
Jeremy Lind	FAC UK, Institute for Development Studies	Theme Co-convenor, Pastoralism	FAC	✓	
Jim Sumberg	FAC UK, Institute for Development Studies	Theme Convenor, Young People and Agriculture	FAC	✓	
Christine Okali	FAC UK, Independent Consultant	Theme Convenor, Gender and Social Difference	FAC	✓	
Hannington Odame	FAC Africa	East Africa Hub Convenor / Theme Co-convenor, STI	FAC	✓	
Ruth Hall	FAC Africa, Institute for Poverty, Land and Agarian	Southern Africa Hub Convenor/ Theme Co-convenor, Land	FAC	✓	IS 1
Beatrice Ouma	FAC Africa	Communications (East Africa Hub)	FAC	✓	
Rebecca Pointer	FAC Africa	Communications (Southern Africa Hub)	FAC	✓	
Mulugeta Tefera	FAC Africa	Theme Co-convenor, Agricultural Growth and Social Protection	FAC		IS 7
Hussein A. Mahmoud	FAC Africa	Theme Co-convenor, Pastoralism	FAC	✓	
Ian Scoones	FAC UK, Institute for Development Studies	Theme Convenor, Land	FAC		IS 1
Gem Argwings-Kodhek	Tegemeo Institute	CAADP/ ECF Co-ordinator	FAC	✓	
Leonard Odouri	Tegemeo Institute	Research and Networking Officer	Other academic	✓	
Mary Mathenge	Tegemeo Institute	Director	Other academic	✓	
Andries du Toit	Institute for Poverty, Land and Agarian Studies, UWC	Director	Other academic	✓	
FAC Members/ researchers and partners					
Abdurehman Eid	Jijiga University, Somali Region	FAC member / researcher	Academic	✓	
Andy Cately	Tufts University	FAC member / researcher	Academic	✓	
Cyriaque Hakizimana	Institute for Poverty, Land and Agarian Studies, UWC	FAC member / researcher	Academic	✓	
Emmanuel Sulle	Institute for Poverty, Land and Agarian Studies, UWC	FAC member / researcher	Academic	✓	
Dr. Samuel Gebreselassie Wari	Ethiopian Economics Association	FAC member / researcher	Academic	✓	

Micheal Chasukwa	University of Malawi	FAC member / researcher	Academic		IS 2
Abdirizak Arale Nunow	MoI University	FAC member / researcher	Academic		IS 2
Blessings Chinsinga	University of Malawi	FAC member / researcher	Academic		IS 3
Andrew Dorward	School of Oriental and African Studies, UCL	FAC member / researcher	Academic		IS 4
Ephraim Chirwa	University of Malawi	FAC member / researcher	Academic		IS 4
John Letai	Oxfam	FAC member / researcher	Academic		IS 5
Godfrey Bahiigwa	International Food Policy Research Institute (IFPRI)	Director of Eastern and Southern Africa Research Office	Academic		IS 6
Amdissa Teshome	Tufts University, Addis/ ABC Consulting, Addis	FAC Member/ researcher and former Ethiopia Country Coordinator	Academic		IS 7
Fayere Sima		FAC member / researcher	Academic		IS 7
Rachel Sabates Wheeler	Institute for Development Studies	FAC Member/ researcher and former Theme Co-convenor, Growth and Social Protection (to 2012)	Academic		IS 7
Dawit Alemu	Ethiopian Institute of Agricultural Research	FAC member / researcher	Academic		IS 8
Saturnino 'Jun' Borras,	Saint Mary's University	LDPI South East Asia co-lead	Academic		IS 1
Ben White	ISS's RELIVE Research Cluster	LDPI South East Asia co-lead	Academic		IS 1
Wendy Wolford	Cornell's Polson Institute for Global Development	LDPI Latin America lead	Academic		IS 1
Tania Murray Li	University of Toronto	Research Chair and Professor of Anthropology	Academic		IS 1
Yvonne Pinto	Firetail Consulting	Director of ALINe	Consultant	✓	IS 6
Marja Thjssen	CDI, Wagengingen	Senior Adviser Plant Genetic Resources and Seed Systems	Academic		IS 8
Dr. Aga Amsalu	CDI, Wagengingen	Director ISSD Programme	Academic		IS 8
Fiona Flintan	ILRI / International Land Coalition	Researcher/ Consultant	Academic	✓	
Amanuel Asefa	Precise Consult International PLC	Ethiopia Sustainable Agribusiness Incubator Project	Consultant	✓	
Early Career Fellows					
Eunice Githae		ECF Programme	n/a	✓	
James Atela		ECF Programme	n/a	✓	
Johnanes Odiwour-Atela		ECF Programme	n/a	✓	
Laura Periera		ECF Programme	n/a	✓	
Loveness Msofi		ECF Programme	n/a	✓	
Mirriam Matita		ECF Programme	n/a	✓	
Tabby Karanja-Lumumba		ECF Programme	n/a	✓	
Trust Kasambala Donga		ECF Programme	n/a	✓	
Yasin Mahadi		ECF Programme	n/a	✓	
DFID Reference Group Members and Key Informants					

Duncan Barker	DFID [Reference Group Member]	DFID/ FAC Reference Group and Livelihoods Adviser	Donor	✓	
Alasdair Swift	DFID [Reference Group Member]	DFID/ FAC Reference Group	Donor	✓	
Lorraine Healy	DFID [Reference Group Member]	DFID/ FAC Reference Group and Deputy Programme Manager	Donor	✓	
Andrew Shaw	DFID [Reference Group Member]	DFID/ FAC Reference Group and Evaluation Adviser	Donor	✓	
Alan Tollervey	DFID [Reference Group Member]	DFID/ FAC Reference Group and Agricultural Research Team Leader	Donor	✓	
Ben Cattermoul	DFID [Reference Group Member]	DFID/ FAC Reference Group and Evidence Broker	Donor	✓	
Chris Penrose-Buckley	DFID [Reference Group Member]	DFID/ FAC Reference Group and Food and Agriculture Adviser	Donor	✓	
Marco Serena	DFID [Reference Group Member]	DFID/ FAC Reference Group Agriculture and Food Trade Adviser, Africa Regional Team	Donor	✓	
Terri Sarch	DFID	Acting Head of the Global Funds Department. Formerly Livelihoods Adviser in Policy Division and Team Leader in the Africa Regional Department with remit including FAC	Donor	✓	
Tim Waite	DFID	Senior Livelihoods and Disaster Resilience Adviser in CHASE	Donor	✓	
David Howlett	DFID	Climate Change and Livelihoods Adviser	Donor	✓	
Yolande Wright	DFID	Livelihoods Head of Profession	Donor	✓	
Iris Krebber	DFID	Senior Land Policy Adviser	Donor		IS 1
Teddie Nakhumwa	DFID Malawi	Economics Adviser	Donor		IS 4
Tim Conway	DFID Ethiopia	Senior Social Protection Adviser	Donor		IS 7
Tiago De Valladares Pacheco	DFID Mozambique	Livelihoods Adviser	Donor	✓	
Dan Bradley	DFID India	Livelihoods Adviser	Donor	✓	
Vince Langdon-Morris	DFID Ghana	Livelihoods Adviser	Donor	✓	
Other donor key informants					
Fritz van der Waal	Dutch Ministry of Foreign Affairs	Senior Policy Adviser	Donor		IS 1
Melaku Gebremichael Gebreyesus	World Bank	Senior Social Protection Adviser	Donor		IS 7
Matthew Hobson	World Bank, Ethiopia/ Washington	Social Protection/ PSNP	Donor		IS 7
Jason Taylor	USAID	Technical Lead, Social Protection	Donor		IS 7
Reta Asegeid	USAID	GRAD Coordinator	Donor		IS 7
NGOs and CSOs					
Sofia Monsalve	FIAN International	Coordinator of the Global Land Programme	NGO		IS 1
Kate Geary	Oxfam	Land Rights Policy Lead	NGO		IS 1
Kimberly Pfeifer	Oxfam America	Head of Research	NGO		IS 1
Prince Kapondamgaga	Farmers Union of Malawi	Executive Director	CSO		IS 3
Andrew Mpesi	Farmers Union of Malawi	Programme Officer	CSO		IS 3

Tamani Nkhono-Mvula	CISANET	National Director	CSO		IS 3
Willie Kalumula	World Vision and CISANET	Operations Director of World Vision and Chair of CISANET	CSO		IS 3
Beatrice Makwenda	NASFAM	Policy Coordinator	CSO		IS 3
Shadrak Omondi	RECONCILE - Land Rights	Director	CSO		IS 5
Mark Bradbury	Rift Valley Institute	Director	NGO		IS 5
Fasil Kelemework	Self Help Africa	Head of Programmes	NGO		IS 8
Esther Watts	Care Ethiopia	Programme Director	NGO		IS 7
John Meyer	GRAD	Chief of Party	NGO		IS 7
Adebabay Mengist	SNV / GRAD	Agricultural Extension and Capacity Building Adviser	NGO		IS 7
Gisachew Sisay	SNV / GRAD	Senior Value Chain Adviser	NGO		IS 7
Policy makers					
Izzy Birch	National Drought Management Authority [Kenya]	Technical Advisor to the Ministry for Northern Kenya and Other Arid Lands	Policy maker		IS 2
Hon. Mohamed Elmi, MP	Member of Parliament for Tarbaj constituency [Kenya]	Former Minister for Northern Kenya and Other Arid Lands	Policy maker		IS 2
Christine Mtambo	Malawi Ministry of Agriculture and Food Security [Malawi]	Deputy Director of Crop Development	Policy maker		IS 3
Readwell Msopole	Malawi Ministry of Agriculture and Food Security [Malawi]	Deputy Director, Department of Agricultural Planning Services	Policy maker		IS 3 and IS 4
Hon. David Luka	Parliamentary Committee on Agriculture and Natural Resources [Malawi]	Chair person	Policy maker		IS 3
Boaz Blackie Keizire	Dept of Rural Economic Affairs, AUC	Head of CAADP/ Senior Adviser	Policy maker		IS 6
Yenus	Household Asset Building Programme, Ministry of Agriculture and Rural Development (MOARD) [Ethiopia]	Federal Director	Policy maker		IS 7
Birhanu WoldeMichael	Ministry of Agriculture [Ethiopia]	Head of Food Security Directorate	Policy maker		IS 7
Alemseged W/Yohannes	Ministry of Labour and Social Affairs [Ethiopia]	Secretariat, National Platform on Social Protection	Policy maker		IS 7
Teshome Lakew	Ministry of Agriculture [Ethiopia]	Director, Inputs	Policy maker		IS 8
Dr Yitbarek Semeane	Agricultural Transformation Agency [Ethiopia]	Director, Seed Programme	Policy maker		IS 8
Dr Yonas Sahlu	Alliance for a Green Revolution in Africa (AGRA)	Ethiopia Coordinator, Scaling Seeds and Technologies Partnership in Africa	Policy maker		IS 8
Daniel Mekonnen	Ministry of Agriculture [Ethiopia]	Director, Plant Varieties protection and seed quality control Directorate	Policy maker		IS 8
Dr Adefris Teklewold	Global Maize Programme CIMMYT Ethiopia Office [Ethiopia]	Senior Scientist and Project Leader, Nutritious Maize for Ethiopia	Academic		IS 8

APPENDIX 6: KNOWLEDGE PRODUCT USER SURVEY

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FAC User Feedback survey

About the evaluation

The UK Department for International Development (DFID) has commissioned an evaluation of the Future Agricultures Consortium (FAC).

The evaluation will assess FAC's performance over the period to 2014 with a focus on the outcomes and impacts of FAC's agricultural research work.

The purpose of the evaluation is to learn lessons from FACs experiences and those of its supporters with the aim of increasing the evidence base about the impact of research in agricultural policymaking.

You are receiving this email as you are a member of FAC's mailing list. We would be very grateful if you could take some time to complete this short survey concerning your engagement with FAC, its outputs and activities.

Things you need to know:

- The survey is confidential and no personal details are recorded in it
- Your responses will be analysed by an independent evaluation service provider [UQ Weblink]
- The survey will take approximately 10 minutes to complete

We would like to thank you in advance for your help with this important evaluation. Your feedback will inform DFID's plans for future investment in agricultural research.

Completed survey responses will be entered into an anonymous ballot to receive $20 Skype credit. We have three of these gifts to give away.

Section 1: Your engagement with the Future Agricultures Consortium

We would like to understand the ways in which people engage with FAC and the reasons for this.

Q1. FAC produces a number of outputs and supports a range of activities to enable people to engage with their research. Which of these have you read or been involved in? (Please **tick all that apply)**

FAC Newsletter		Attended a conference at which FAC gave a presentation.	
FAC Policy brief		Followed a FAC e-Debate	
Book/ book chapter		Read/ responded to FAC hot topic discussion or blog	
Journal article		'Liked' FAC Facebook	
FAC Website		Follow FAC on Twitter	
Attended a conference organised by FAC		None	[ROUTE OUT]
Other (Please specify)			

Q2. FAC produces outputs and engages in activities across a number of **policy areas.** Thinking about the FAC outputs you have read/ activities you have been engaged through, which policy areas have these related to? (Please **tick all that apply)**

China and Brazil in African Agriculture		Science, Technology and Innovation	
Agricultural Growth and Social Protection		Policy Processes	
Youth and Agriculture		Climate Change	
Land and Tenure		Gender and Social Difference	
Pastoralism		Do not recall	
Other (Please Specify)			

Q3. When did you first become aware of FAC's research? (Please **tick one)**

2005		2011	
2006		2012	
2007		2013	
2008		2014	
2009		Do not recall	
2010			

Q4. In the period you were most aware of FAC, how frequently do you read FAC outputs/ engage in FAC activities (including conferences, events and social media activities) (Please **tick one)**

Once a year or less		2-5 time a month	
2-5 times a year		Once a week	
6-10 times a year		More than once a week	
Approximately once a month			

Q5. What is the main reason(s) why you have chosen to read FAC outputs or engage in FAC activities? (Please **tick one)**

Professional need - *FAC research is relevant to my job role and I look to FAC to find information on a specific subject/issue related to my job role*	
Professional interest - *FAC research is relevant to my job role and I look to FAC to find general information to support my job role*	
Personal need – *I look to FAC to find information for a specific purpose (not related to my job role)*	
Personal interest – *I look to FAC to find general information for reasons of personal interest*	[Route to Q6]
Other (please specify)	

We would like to know more about why you are interested in FAC research.
Q5b. Can you please tell us:

i. How FAC's agenda is relevant to your area of work/ interest?

ii. What issues are/ were you particularly interested in and why?

Section 2: Your thoughts on FAC research

Q6. Thinking about the FAC outputs you have read/ activities you have been involved in, how would you rate these in terms of ...?

	Please rate against the statements below... **1=Strongly disagree; 2= Disagree; 3 =Agree; 4= Strongly agree; 5 = neither agree nor disagree**	1	2	3	4	5
Quality	FAC research is *robust* and *credible*					
Relevance	FAC research is relevant to agricultural policy issues for countries in Africa					
	FAC research reflects the priorities of agricultural policy makers (inc. national government, CAADP/ NEPAD/ AU					
	FAC research and engagement activities are appropriately designed in order to influence agricultural policy debate and policy making actors in countries in Africa					
Timeliness	FAC research and engagement activities is produced at the right time to influence agricultural policy debate and policy making					

Q7. Would you recommend FAC research outputs/ activities as a source of information to others? (Please **tick one)**

Yes	
No	[Route Q9]

Q8. Have you ever recommended FAC research outputs/ activities as a source of information to others? (Please **tick one)**

Yes	[Route 8b]
No	

Q8b. Why did you think FAC research would be relevant / helpful to this person? (Please **tick one)**

Professional need - *FAC research is relevant to their job role and they required information on a specific subject*	
Professional interest - *FAC research is relevant to their job role and provides general information to support their job role*	
Personal interest – *FAC research would be interesting for them on a personal level*	
Other (please specify)	

Section 3: The impact of FAC research

Q9. Thinking about the FAC outputs you have read/ activities you have been involved in, to what extent do you think these have resulted in any of the following...?

	Please rate against the statements below where... **1=Strongly disagree; 2= Disagree; 3 = Agree;** **4= Strongly agree; 5 = Neither agree nor disagree**	1	2	3	4	5
i).Knowledge	My knowledge of agricultural policy issues has increased					
	My knowledge of key players/ organisations involved in agricultural policy making (and how they operate) has increased					
	I know how/ where to get involved in dialogue and debate on agricultural policy issues					
	My ability to engage in agricultural policy debate has increased					
ii). Attitude	My attitudes towards agricultural policy issues have changed					
	My attitudes towards agricultural research has changed					
	My views of players/ organisations involved in agricultural policy making have changed					
	My views on the most appropriate and/ or effective way to influence policy making in the agricultural sector have changed					
iii).Practice	The way I act in relation to agricultural policy issues has changed/ will change in future as a result of engagement with FAC					

Q9b. [If agree/ strongly agree at any/ all of Q9a i and ii] In what specific areas or ways has FAC research and enagement impacted on your **knowledge and/ or attitudes** towards agricultural policy issues?

[Up to 400 words]

Q9c. [If agree/ strongly agree Q9aiii] Considering **your practice in relation to agricultural policy issues** what are you/ will you do differently in future and how is this related to your engagement with FAC?

[Up to 400 words]

Section 4: About you?

Q10. Your gender:

Male	
Female	
Rather not say	

Q11. Your role:

Student	
FAC Academic/ researcher	
Non-FAC Academic/ researcher	
NGO/ Donor employee	
Policy maker (national/ regional)	
Private sector employee	

Q12. Where is your permanent place of residence?

Africa	
Europe	
Asia	
North America	
South/ Central America	
Australia/ New Zealand	

Q12b. In what country is your permanent place of residence

Section 5: Close

Q13. Is there anything that you think FAC could do differently or better? (Please **record your comments below)**

[Up to 400 words]

Q14. Other comments:

[Up to 400 words]

THANK YOU FOR YOUR TIME

If you require any further information about the evaluation of FAC or this survey please contact Kathleen Latimer [Principal Consultant, Upper Quartile] – info@upperquartile.co.uk

A summary of findings from this survey will be published on the FAC Facebook page.

upperquartile

APPENDIX 7: PERSONAL PROFESSIONAL DEVELOPMENT SURVEY AND HEADLINE FINDINGS

A7.1 FAC survey

Dear Colleague

An independent evaluation of the work of the Future Agricultures Consortium (FAC) has been commissioned by our funders – UK Department for International Development (UK DFID).

This is important as it will affect how DFID fund agricultural policy research and support to African agricultural researchers in future. It will also help FAC learn more about the types of engagement that is most useful to colleagues working in the field of African agriculture.

You are receiving this email as you have received a grant from FAC or you have been commissioned by FAC to undertake some research or other FAC related work.

We would be very grateful if you could take some time to complete this short survey about your engagement with FAC.

Your responses will be analysed by independent evaluators from [UQ insert link] and individual responses will be kept confidential.

Completed survey responses will be entered into an anonymous ballot to receive $20 Skype credit. We have three of these to give away. The nature of the answers you give will not determine your eligibility for the ballot

Section 1: Your engagement with the Future Agricultures Consortium

ASK ALL

Q1.1. In what ways have you been involved with FAC? (tick all that apply)

a. **Received research grant**	[Route Section 2]
b. **Commissioned as lead or co-researcher**	[Route Section 3]
c. **Both of the above**	[Route Section 2]

ASK GRANT RECIPIENTS – THOSE ANSWERING a or c at Q1.2

Section 2: About your research grant and support from FAC

Q2.1. Which type of grant did you receive?

a. Early Years Fellowship Programme grant	
b. Young People and Agri-Food Small Grant	
c. Land Deal Policy Initiative Small Grants	
d. Other ……..(please specify)	

Q2.2. Please provide a summary of the research that was funded by your grant?

Q2.3. How did you hear about the opportunity to apply for the research grant and why did you decide to apply?

Q2.4. What do you think were the key factors that enabled you to win the research grant?

Q2.5. Approximately what percentage of your research was funded by FAC? (tick one)

100%	[ROUTE Q2.7]
76% - 99%	[ROUTE Q2.6]
51% - 75%	[ROUTE Q2.6]
26% - 50%	[ROUTE Q2.6]
10% - 25%	[ROUTE Q2.6]
<10%	[ROUTE Q2.6]

Q2.6. What other sources of funding did you have for your research?

Q2.7. In the absence of your research grant from FAC to you think that... (please tick one)

	Yes	No
a. Your research would not have happened at all?		
b. Your research would have happened at a later date?		
c. Your research would have happened on a smaller scale?		
d. Your research would have been poorer quality?		

Q 2.8. Over the course of your research grant did you have a key contact(s) within the FAC network to provide you with the advice and / or mentoring that you needed?

Yes	[ROUTE Q2.9]
No	[ROUTE SECTION 2.12]
Don't know/ do not remember	[ROUTE SECTION 2.12]

Q2.9. What form did this advice / mentoring take?

Q2.10. What was the benefit of this advice /mentoring for you as a researcher and for your organisation?

Q2.11. How effective do you feel FAC's management of the grant scheme was/ is?

Consider for example:

- The application process
- The efficiency of the grant disbursal mechanisms
- The timeliness of awards, disbursals and support
- The process for gaining/ acting on feedback from grantees

Q2.12. Thinking about the process of undertaking your research, is there anything that FAC could have done differently or better to support you?

Q2.13. In addition to receiving your research grant, have you been supported financially to engage with other FAC activities? (tick all that apply)

Yes, funded to present my research results in my country	[ROUTE SECTION 4]
Yes, funded to present my research results in another country	[ROUTE SECTION 4]
Yes, funded to attend a conference in another country without having to present	[ROUTE SECTION 4]
Yes, paid to be junior researcher/writer for a FAC publication	[ROUTE SECTION 3]
Yes, paid to be a lead researcher/writer for a FAC publication	[ROUTE SECTION 3]
No	[ROUTE SECTION 4]

ASK LEAD- AND CO-RESEARCHERS

Section 3: About your research

Q3.1. What types of research outputs have you produced on behalf of FAC? (please note the number of research outputs commissioned against all relevant output types)

	No.
Book/ book chapter	
Conference paper / report	
Discussion paper	
Journal article / journal special issue	
Policy brief	
Research paper/ report	
Working paper	
Other (please specify)	

Q3.2. Which thematic areas has your FAC research addressed? (tick all that apply)

Agricultural commercialisation	
China and Brazil in African Agriculture	
Climate change and agriculture	
Food price volatility	
Gender and social difference	
Growth and social protection	
Land and tenure	
Pastoralism	
Policy Processes	
Science, technology and innovation	
Youth and agriculture	

Q3.3. Thinking about all of your research activity, approximately what percentage of it is undertaken in conjunction with FAC? (tick one)

100%	[ROUTE SECTION 3B]
76% - 99%	[ROUTE Q18b
51% - 75%	[ROUTE Q18b
26% - 50%	[ROUTE Q18b
10% - 25%	[ROUTE Q18b
<10%	[ROUTE Q18b

Q3.4. Which other institutions/ organisations do you undertake research in conjunction with / on behalf of?

ASK ALL

Section 4: The value of your engagement with FAC

Q4.1. What is your current role? (tick all that apply)

a. Student	
b. FAC Academic/ researcher	
c. Non-FAC Academic/ researcher	
d. Consultant	
e. NGO/ Donor employee	
f. Policy maker (national/ regional)	
g. Private sector employee	
h. Civil servant	
i. Other (please specify)	

Q4.2. Please describe if (and how) your current role relates to policy making/ policy research?

Section 4a: Your skills and capacities ASK ALL

Q4.3. In what ways do you think your involvement with FAC has /will develop your skills and capacities? (Please rate each statement on the scale below)

As a result of my FAC research grant .... **1=Strongly disagree; 2= Disagree; 3 =Agree; 4= Strongly agree;**	1	2	3	4	Not applicable
My ability to identify policy relevant research gaps has improved					
My ability to undertake policy relevant research has improved					
My ability to critically engage with research evidence has improved					
My ability to communicate research findings has improved					
My ability to identify and engage with policy relevant stakeholders has improved					
My presentation skills have improved					
My facilitation skills have improved					
My networking skills have improved					
I am more likely to recognise and consider political economy issues in my current /future role					
I am more likely to recognise and consider issues of gender and social difference in my current/ future role					

Q4.4. Please list any other **skills and capacities** that you have developed or improved as a result of your engagement with FAC?

Q4.5. Please provide an example of an instance in which you have applied the skills and capacities developed as a result of your engagement with FAC and the impact of this?

Q4.6. What are your views on the quality of advice/ mentoring/ support offered by FAC to researchers? Specifically is there anything unique/ different about FAC's approach in comparison to other organisations.

Section 4b: Your current/ future career ASK ALL

Q4.7. Do you feel that the work you have done with FAC / support you have received from the FAC network, has enabled you to access career opportunities (such as employment, promotion, research grants, consultancy or similar opportunities) which you might not otherwise have had?

Please consider your current career and also you future career opportunities

Yes	[ROUTE Q4.8]
No	[ROUTE Q4.9]

Q4.8. Please describe the ways in which FAC your engagement with FAC has/ will affect your current/ future career opportunities?

IF 'NO DIFFERENCE' AT Q4.7

Q4.9. Why do you think that your engagement with FAC has not/ will not have an impact on your career?

ASK ALL

Q4.10. Thinking about your own research undertaken in conjunction with FAC, please describe any instances where you have used this to engage directly with policy makers, or influence policy processes, locally, or nationally,

Q4.11. What was the outcome / impact of this?

ASK ALL

Section 5. Wider engagement with FAC

In addition to your specific involvement as a grant recipient/ lead or co-researcher for FAC we are interested in your wider engagement with the consortium.

Q5.1. Are you still undertaking research in conjunction with FAC or are you likely to undertake further research in conjunction with FAC in future?

Yes	[Route 5.4]
No	[Route 5.2]

Q5.2. Since completing your research have you continued to collaborate with any FAC members?

Yes	[Route 5.3]
No	[Route 5.4]

Q5.3. Please describe the nature of this collaboration?

As you will be aware FAC produces a number of outputs and supports a range of activities to enable people to engage with its research.

Q5.4. Excluding your own work, which of these have you read or been involved in? (Please **tick all that apply)**

FAC Newsletter		Attended a conference at which FAC gave a presentation.	
FAC Policy brief		Followed a FAC e-Debate	
Book/ book chapter		Read/ responded to FAC hot topic discussion or blog	
Journal article		'Liked' FAC Facebook	
FAC Website		Follow FAC on Twitter	
Attended a conference organised by FAC		None	[ROUTE SECTON 6]
Other (Please specify)			

Q5.5. How frequently do you read FAC outputs/ engage in FAC activities (Please **tick one)**

Once a year or less		2-5 time a month	
2-5 times a year		Once a week	
6-10 times a year		More than once a week	
Approximately once a month			

Q5.6. Has your experience with FAC strengthened your connections with other researchers in your field?

Yes	[Route 5.7]
No	[Route 5.8]

Q5.7. In what ways has your experience strengthened your connections with other researchers and what has been the impact of this for you and / or for your organisation?

Q5.8. Would you recommend FAC research outputs/ activities as a source of information to others? (Please **tick one)**

Yes	
No	[ROUTE SECTON 6]

Q5.9. Have you ever recommended FAC research outputs/ activities as a source of information to others? (Please **tick one)**

Yes	
No	[ROUTE SECTON 6]

ASK ALL

Section 6: About you?

Q6.1. Gender

Male	
Female	
I would rather not say	

Q6.2. Age

	[Write age]
I would rather not say	

Q6.2. Nationality

Q6.3. Country of current residence

Q6.4. Your highest level qualification (BSc/BA/MSc/MA/PhD)

Q6.5. Country of University awarding your highest degree

Section 7: Final comments

Q7.1. Is there anything that you think FAC could do differently or better?

Q7.2. Any other comments to add

THANK YOU FOR YOUR TIME

If you require any further information about the evaluation of FAC or this survey please contact Kathleen Latimer [Principal Consultant, Upper Quartile] – info@upperquartile.co.uk

A summary of findings from this survey will be published on the FAC Facebook page.

Don't forget to click done to be entered in the Skype credit ballot

A7.2 FAC Capacity Building Survey Quantitative (SurveyMonkey) and Qualitative (NVivo) Analysis

Introduction

An online survey was disseminated to FAC members (including grant recipients, lead and co-researchers) via SurveyMonkey©. The overarching aim of the survey was to assess the effectiveness of support provided by FAC, the value added to members as a result of engagement with FAC (in terms of capacity development and career trajectory) and the extent of policy engagement among FAC members.

The survey was designed to test key elements of the FAC theory of change, specifically (at outcome level) that FAC contributes to more sustainable capacity to engage in policy processes and supports the next generation of African researchers.

This report presents quantitative and qualitative analysis of survey responses from FAC researchers. The numbers of responses to individual questions vary and are cited in the text.

Approach

Quantitative analysis of survey findings has been undertaken in MS Excel. Analysis of qualitative responses has been undertaken in NVivo. The aim of the qualitative analysis is to provide an in-depth understanding of the range of attitudes, beliefs, behaviours and attributes of FAC researchers in relation to:

- Skills and capacities acquired;
- Influence of FAC on career development; and
- Influence of FAC on engagement with policy makers and the policy-making process.

This is important to gain an understanding of why, for whom and under what circumstances interventions have achieved their policy objectives. Addressing these evaluation issues often requires a more qualitative approach that goes beyond the ‘numbers’ presented by closed survey responses.

The qualitative analysis followed the following steps:

- Defining the set of analytical themes or issues of interest;
- Input of relevant open-responses from the researcher survey into NVivo 10;
- Coding of additional themes and issues on the fly (NVivo coding) by review of relevant survey open-responses;
- Generation of a long list of coded responses corresponding to passages of text within the survey results;
- Review of the long-list and recombination into core, or related issues; and
- Analysis of the coded text to identify the most important factors informing the study questions.

The approach set out here is a systematic and rigorous process that complements quantitative survey data by exploring in greater detail issues that have been brought to the fore. The qualitative analysis therefore builds on the findings of the quantitative survey to gain a better understanding of the FAC intervention.

The qualitative analysis examined open responses to the following survey questions[101]:

Question Number	Question Text	Number of Responses
(Q4.5)	Please provide an example of an instance in which you have applied the skills and capacities developed as a result of your involvement with FAC. What was the impact of this?	(58 responses)
(Q4.6)	What is your view on the quality of advice / mentoring and support provided by FAC to researchers? Specifically, is there anything unique about the approach of FAC in comparison to other organisations?	(57 responses)
(Q4.8)	Please describe the ways in which your involvement with FAC has or will affect your current / future career opportunities?	(54 responses)
(Q4.10)	Thinking about your own research undertaken in conjunction with FAC, please describe any instances where you have used this to engage directly with policy makers, or influence policy processes, at a local or national level.	(56 responses)
(Q4.11)	What was the outcome / impact of this?; and	(41 responses)
(Q5.7)	Has your experience with FAC strengthened your connections with other researchers in your field?	(63 responses)

Response rate and sample composition

Survey response

The survey achieved 79 responses from a distribution list of 136 valid contacts[102]. Of these:

- 51% (40 respondents) received a research grant from FAC;
- 39% (31 respondents) have been funded to complete research on behalf of FAC; and
- 10% (8 respondents) have received a grant and been funded to carry out research.

The table below summarises the response rate from grantees and researchers. Overall there is a strong response from grantees who were invited to participate. The response from lead/ co-researchers is more disappointing. A key limitation of the analysis is therefore the extent to which responses are representative of the wider group of FAC researchers.

Given the nature of the survey, which was quite lengthy and used an online approach, it is also likely that there will be a positive response bias in the findings. This caveat should be considered in the interpretation of survey data.

In spite of these caveats, the evaluation team feels that overall the survey provides a reasonable evidence base, when viewed in conjunction with findings of other research strands, upon which to comment on the outcome and impact of FAC in relation to capacity development (particularly the development of junior researchers). The qualitative analysis in particular provides insight and a deeper understanding of the quantitative findings by examining in-depth the range of attitudes, beliefs, behaviours and attributes of researchers within the sample.

[101] The survey script is attached as Annex A7.1

[102] Data cleansing removed a number of broken/ unavailable email addresses from the distribution list. We have also excluded those contacts who participated extensively in qualitative aspects of the research in preference to completing the survey, those were unavailable to take part for the duration of the survey due to, for example annual leave, sick leave, maternity leave, sabbatical etc and those who claimed to have had no contact with FAC and were unable to comment (two recipients of LDPI grants).

	Total valid contacts	Survey response rate	
FAC Grant recipients	57	48	84%
FAC lead/ co-researchers	79	39	49%
Total response	136	79*	58%

*8 respondents identified themselves as both grantees and researchers.

The majority of respondents are currently in academic or research related positions (non-FAC academics/ researchers account for 49% of the sample and FAC academics/researchers make up a further 32%), 12% of respondents are students and 15% identify themselves as independent consultants. Other respondent types include NGO/donor employees (10%) and civil servants (4%). Seven percent of respondents did not identify with any of the categories provided by the survey[103]. None of the respondents identify themselves as policy makers or private sector employees.

One third of respondents were female. Just over two thirds of survey respondents report that their current role relates to policy making; mostly as a result of undertaking and communicating policy relevant research.

Key Findings

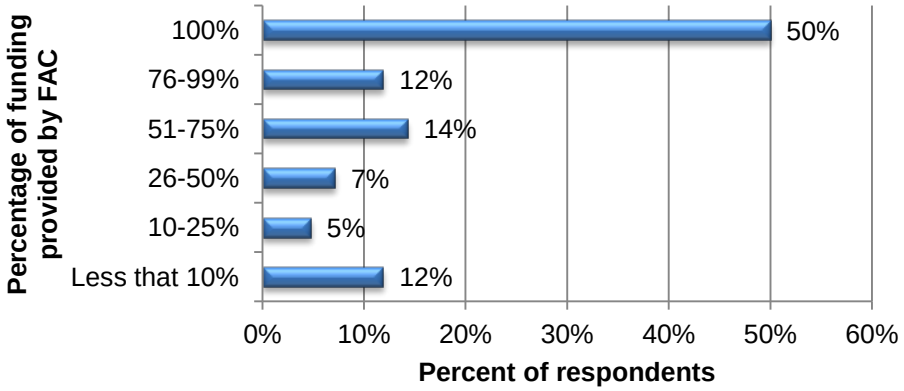
FAC support to young researchers

Forty eight of the seventy nine FAC researchers who responded to the survey (61%) received research grants. Eight of these have also gone on to be commissioned as a lead- or co-research with FAC.

The majority of grant recipients received an Early Years Fellowship Programme Grant (25 respondents) or a Land Deal Policy Initiative Small Grant (14 respondents), while two received a Young People and Agri-Food Small Grant. Nine received grants which they classified as another type[104].

Three quarters of grant recipients (who answered the question) indicated that FAC bursaries and support constituted a substantial part of the funding for their research.

Figure 1: Percentage of research funding provided by FAC



Number of respondents: 42

[103] It was possible to select more than one occupation
[104] It was possible for grant recipients to select more than one type of grant

While most (64%) grant recipients feel that their research would have proceeded without FAC support, engagement with FAC appears to have accelerated this process and provided additional resource allowing increased scale and quality of research. In the absence of FAC, around two thirds of grant recipients feel that their research would have:

- Have happened at a later date (68%)
- Happened on a smaller scale (68%);
- Would have been poorer quality (61%).

Over the course of their research, the majority of grant recipients (86%) had a key contact within the FAC network to provide advice and mentoring support. Overall grant recipients appear satisfied with this process (the nature and impact of FAC mentoring, advice and support is discussed in depth subsequently).

FAC support to lead and co-researchers

The lead and co-researchers who completed the survey represent the full spectrum of FACs thematic reach. The highest level of representation comes from the Agricultural Commercialisation and Growth and Social Protection thematic areas (12 and 11 researchers respectively) and the lowest from the recently added China and Brazil in African Agriculture and Pastorlaism thematic areas (5 researchers each).

As may be expected, those commissioned as lead or co-researchers are less reliant on FAC support to fund their research. For 50% of researchers, work undertaken in conjunction with FAC represents less than one quarter of their work.

Capacity building as a result of FAC

All survey respondents (grant recipients and lead/ co-researchers) were asked about the skills and capacities that they have developed as a result of their engagement with FAC. The majority are positive about what they have learned and the skills they have acquired/ developed.

On average between 80-90% of respondents indicate that their abilities in the following areas have improved:

- Ability to identify policy relevant research gaps;
- Undertake policy relevant research;
- Critically engage with research evidence;
- Communicate research findings;
- Identify and engage with policy relevant stakeholders;
- Networking skills[105].

The only areas of contention are presentation and facilitation skills where approximately 18% and 20% respectively disagree or strongly disagree that engagement with FAC has developed their skills in these areas. Around 15% of respondents feel this question is not applicable to them.

In relation to FACs cross-cutting thematic areas, 52 respondents (79% of those who answered the question) agree or strongly agree with the statement **"I am more likely to recognise and consider political economy issues in my current/future role"** and 51 respondents (78% of those who answered the question) agree or strongly agree with the statement **"I am more likely to recognise and consider issues of gender and social difference in my current/future role".**

[105] This is based on the responses of 66 respondents who answered the question

Application of FAC skills and capacities

Qualitative NVivo analysis was undertaken in relation to survey question 4.5 - Please provide an example of an instance in which you have applied the skills and capacities developed as a result of your engagement with FAC and the impact of this?

Analysis of qualitative responses indicates three broad areas for application of FAC skills and capacities (Figure 2).

The first is around application of general skills and capacities, such as networking skills (shaded red in Figure 2).

Sample quotes from respondents include:

Quote 1

"Systematic writing skills that I learned through feedback from FAC staff." (Ref. 18)

Quote 2

"Learned news ways of presenting complex information simply." (Ref. 25)

Quote 3

"Analysis of qualitative data." (Ref. 36)

The second area relates to the application of research abilities with specific reference to policy research (shaded green).

Quote 4

"Use of political economy principles to improve scope of inquiry: used on a mission to evaluate impact of an intervention." (Ref. 61)

Quote 5

"For instance, I am using the improvement in my writing skills in writing a book chapter for the Political Ecology of Carbon in African Project of the STEPS Centre. I am also planning to prepare journal articles for publication." (Ref. 64)

Quote 6

"I have managed to relate the importance of agricultural development within the same project that had not had a linkage before. For instance most women who reside in Zimbabwe's rural areas are peasant or small holder farmers, as such when addressing their reproductive health concerns it is also essential to understand their means of production or livelihoods. This linkage was not so apparent to me before my involvement with FAC." (Refs. 77-78)

The third area reflects active consideration of political economy issues, and engagement of policy makers. This is significant as this is perceived to be part of FACs unique selling point (USP). Sample quotes from respondents include:

Quote 7

"My capacity how to investigate complex and interlinked socio-economic problems and work with stakeholders/economic actors and policy makers as well as non-state actors." (Refs. 4-5)

Quote 8

"Drivers of Success study for AUC drew heavily on understanding developed through FAC PEAPA work. I believe it helped AUC to engage more confidently

with Heads of State regarding their responsibilities if the 2014-23 agricultural transformation goals are to be achieved." (Ref. 11)

Quote 9

"Engagement with MPs through the Committee on Agriculture and Natural Resources on Land Bill and Fertilizer Subsidy Programme (FISP)." (Ref. 14)

Respondents most often cite the application of specific technical skills acquired through FAC participation, and communication skills (e.g. writing and presenting- see Figure 4).

However, the more 'high-level' outcomes around engaging with policy makers, and incorporation of political economy perspectives into work, are also prominent in responses (see Figure 3).

Figure 2 Application of FAC Skills & Capacities (Q4.5), Model

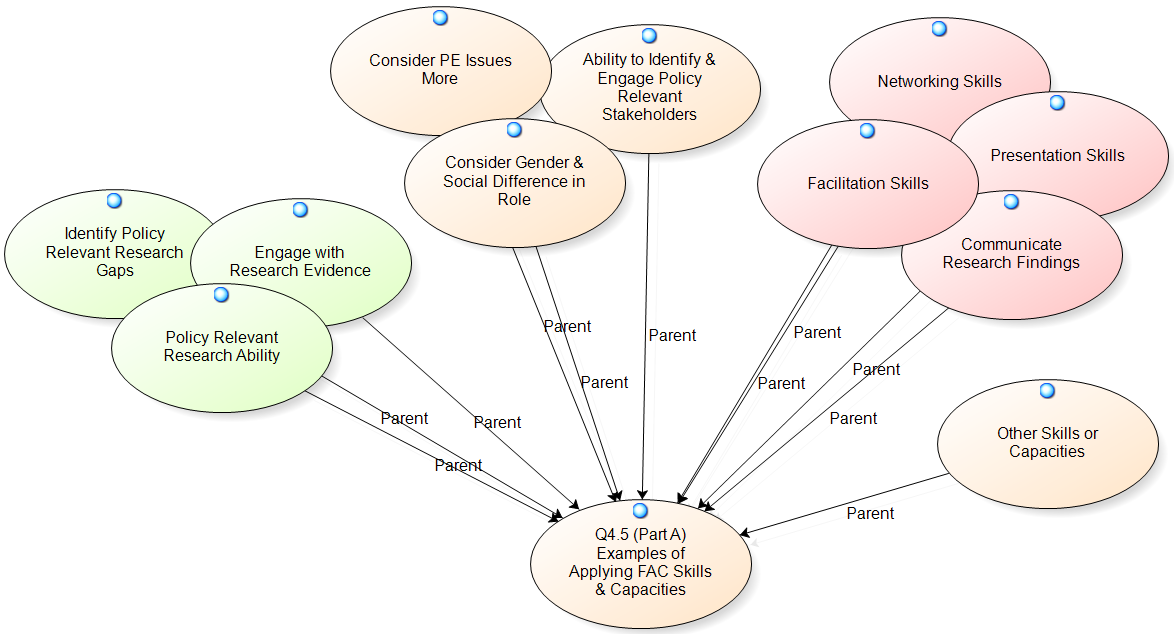


Figure 3 Application of FAC Skills & Capacities (Q4.5)

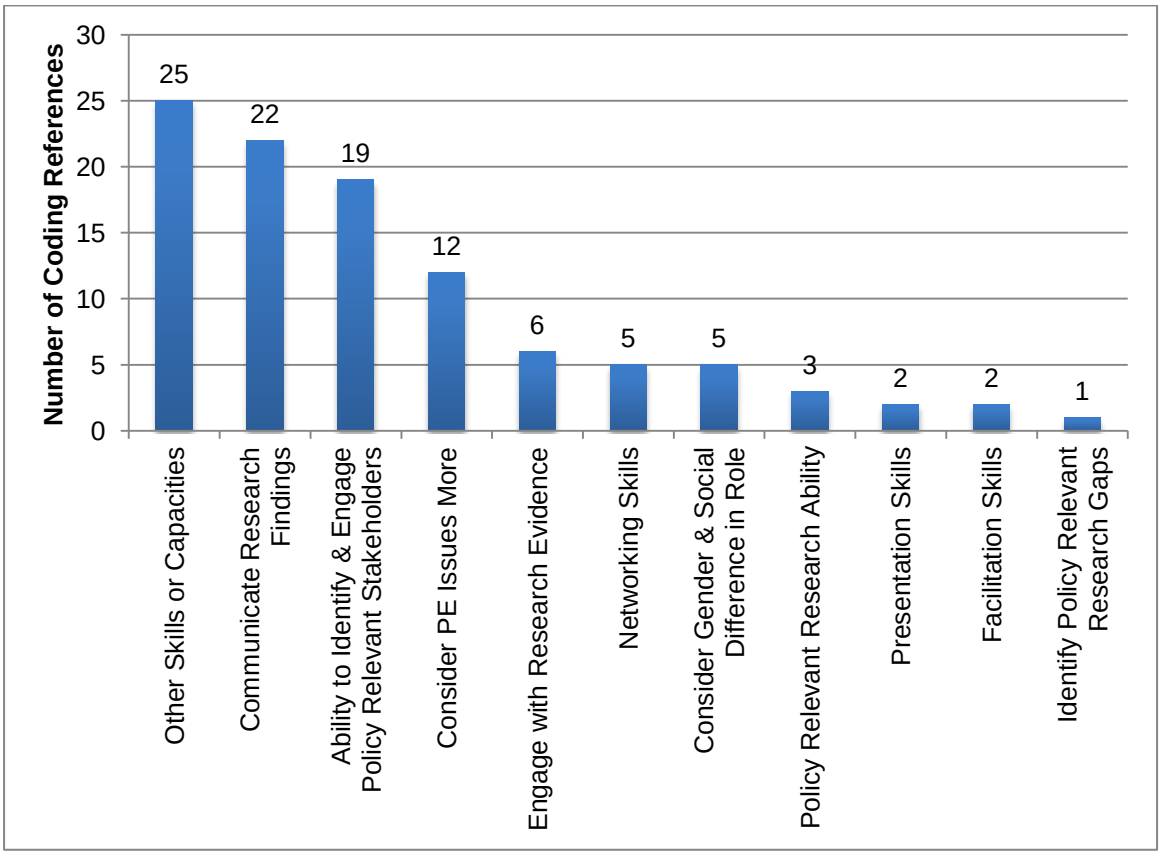


Figure 4 Applications of FAC Skills & Capacities, Communicate Research Findings (Q4.5)

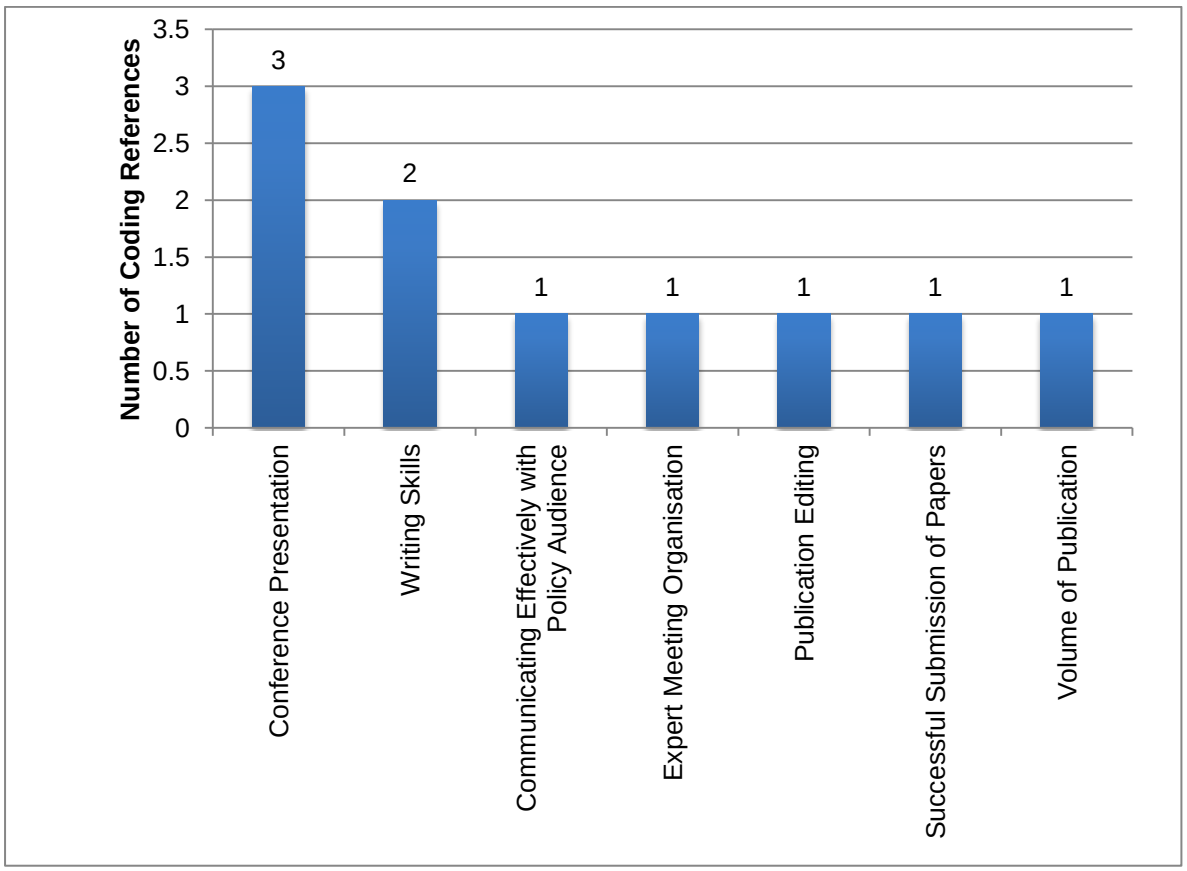
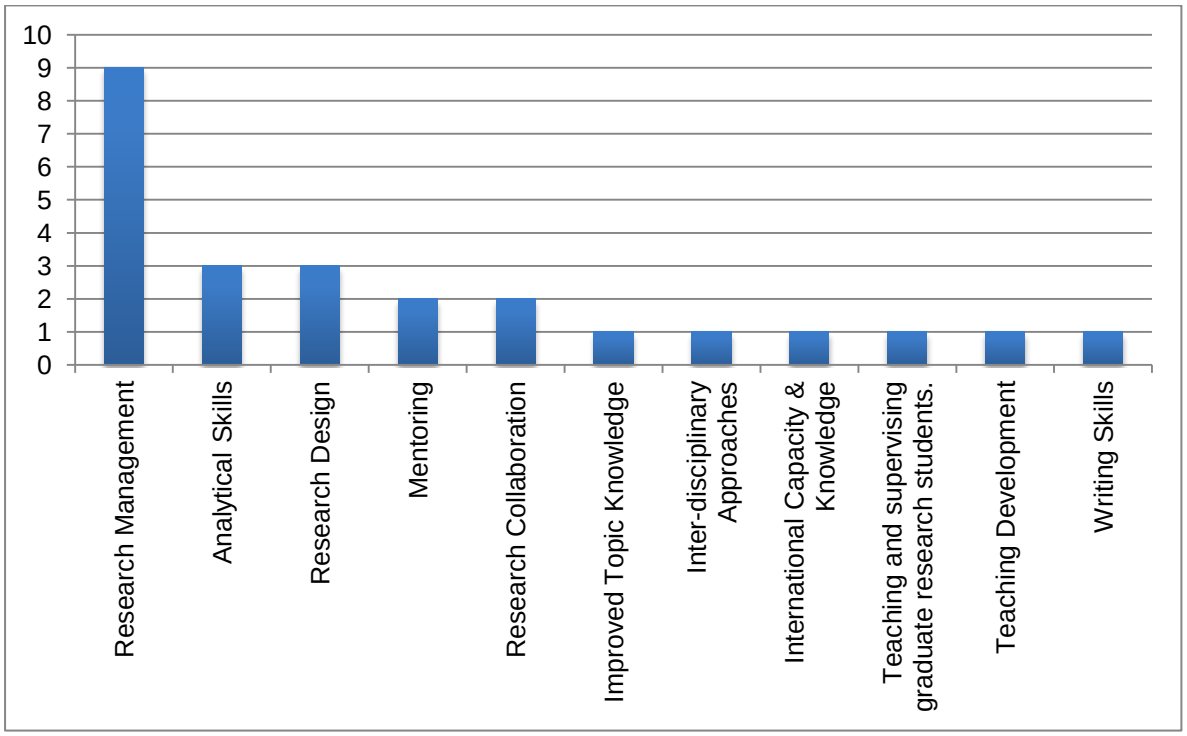


Figure 5 Application of FAC Skills & Capacities, Other Skills or Capacities (Q4.5)



Considering the impact or benefits to researchers as a result of applying the skills and capacities acquired through their engagement with FAC, a number of different areas of impact are apparent (see Figure 6 and Figure 7). The three most prominent are:

- Personal career progression;
- An influence on policy; and
- Being better able to communicate or successfully disseminate research findings (e.g. via conference, meetings, or publication).

Sample quotes are noted bellow.

Personal career progression:

Quote 10

> *"I used my experience and work that I have done with FAC to apply for lecturer position in the University and I was offered the job. This would have been difficult without enough research background." (Ref. 9)*

An influence on policy:

Quote 11

> *"This (work) resulted in critical debates in Parliament on these two issues resulting in the Bill on Land being referred back to Legal Affairs Committee although it was eventually passed with quite minor modifications." (Ref. 5)*

Better able to communicate or successfully disseminate research findings:

Quote 12

> *"Most of my skills and capacities predate my FAC involvement. In terms of impact, to date my two FAC working papers (sole author) have been downloaded more than 7,000 times. Impact!" (Ref. 17)*

Figure 6 Impact of Applying FAC Skills & Capacities (Q 4.5), Model

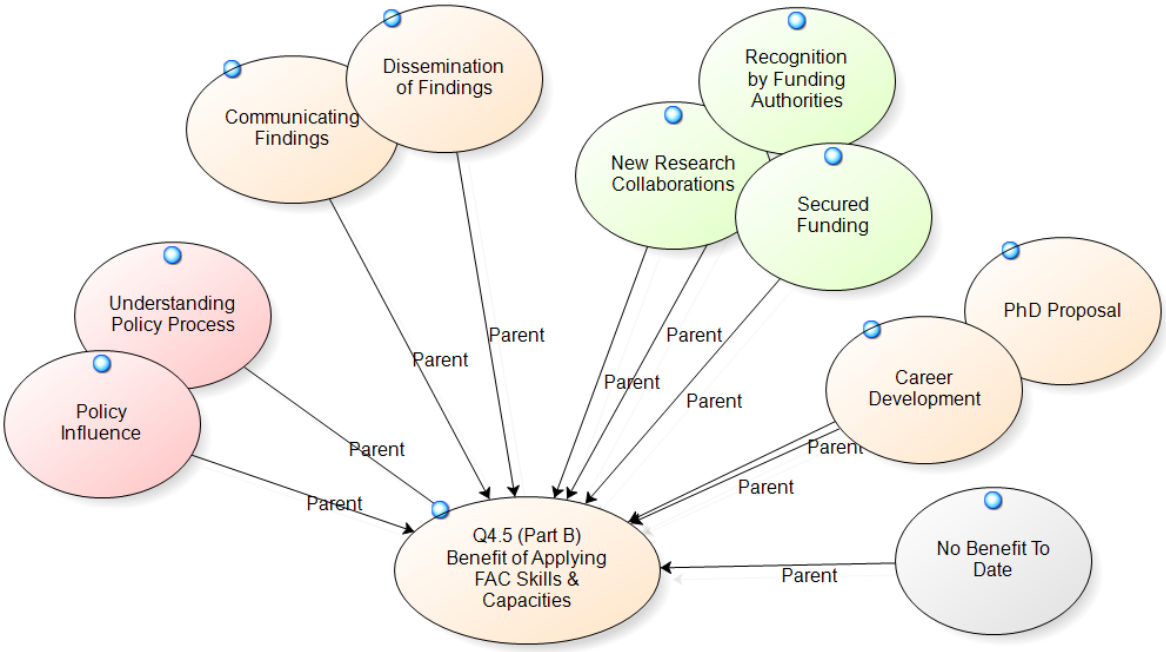
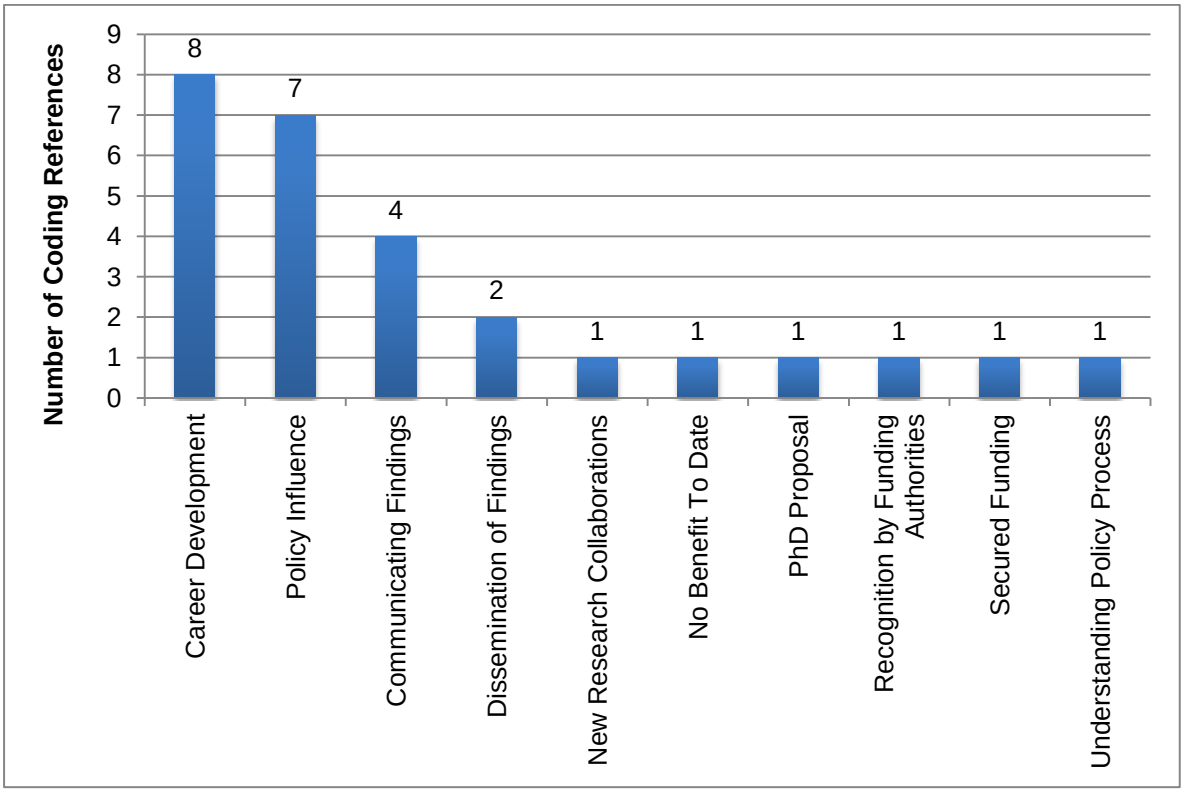


Figure 7 Impact of Applying FAC Skills & Capacities (Q 4.5)



Advice, monitoring and support

Respondents were asked their views on the quality of advice, mentoring and support offered by FAC and if there is anything unique or different about FAC's approach in comparison to other organisations (survey question 4.6).

Views on the quality of FAC's approach to advice, mentoring and support are generally positive. However, a minority of views reflect some dissatisfaction with the amount or timeliness of support (see Figure 8).

The range of factors that respondents identify when discussing the contribution of FACs approach is wide. These are listed in Table 1. The model presented in Figure 9 groups responses into a number of clusters:

- Mentoring approach;
- Networking opportunities;
- The positive environment;
- High standards;
- An international perspective;
- Useful skills;
- Critical responses;
- Efficient administration; and
- The political economy approach.

While the range of responses is diverse, the most commonly cited issues relate to the benefits of:

- A political economy, policy-relevant approach;
- Opportunities for networking; and
- The personalised nature of the mentoring.

Sample quotes from respondents are noted below.

Quote 13

> *"FAC's USP is its focus on the politics of agricultural policy processes in Africa. No other major research network/organisation makes the political economy of agricultural policy its central focus in that context. Thus in terms of mentoring and support by FAC to both its young researchers and more senior members, it is helping them to gain the skills and develop and apply the conceptual and methodological tools needed to analyse these processes in order to inform and influence key policy debates and agendas." (Refs. 60-61)*

Quote 14

> *"Secondly, they provide a wealth of information and networks from which you can learn from and improve your work." (Ref. 46)*

Quote 15

> *"This one-to-one engagement between UK researchers and young African researchers is quite unique, in my experience." (Refs. 47-48)*

Quote 16

> *"There is also extensive feedback and intellectual engagement on issues including rigorous peer reviews. The strength of FAC's approach is the regular meetings where researchers present their work and an attempt on the part of the intellectual leaders of FAC to bring to the attention of the researchers cutting edge debates." (Refs. 6-8)*

Figure 8 Quality of FAC Approach to Advice / Mentoring / Support (Q4.6)

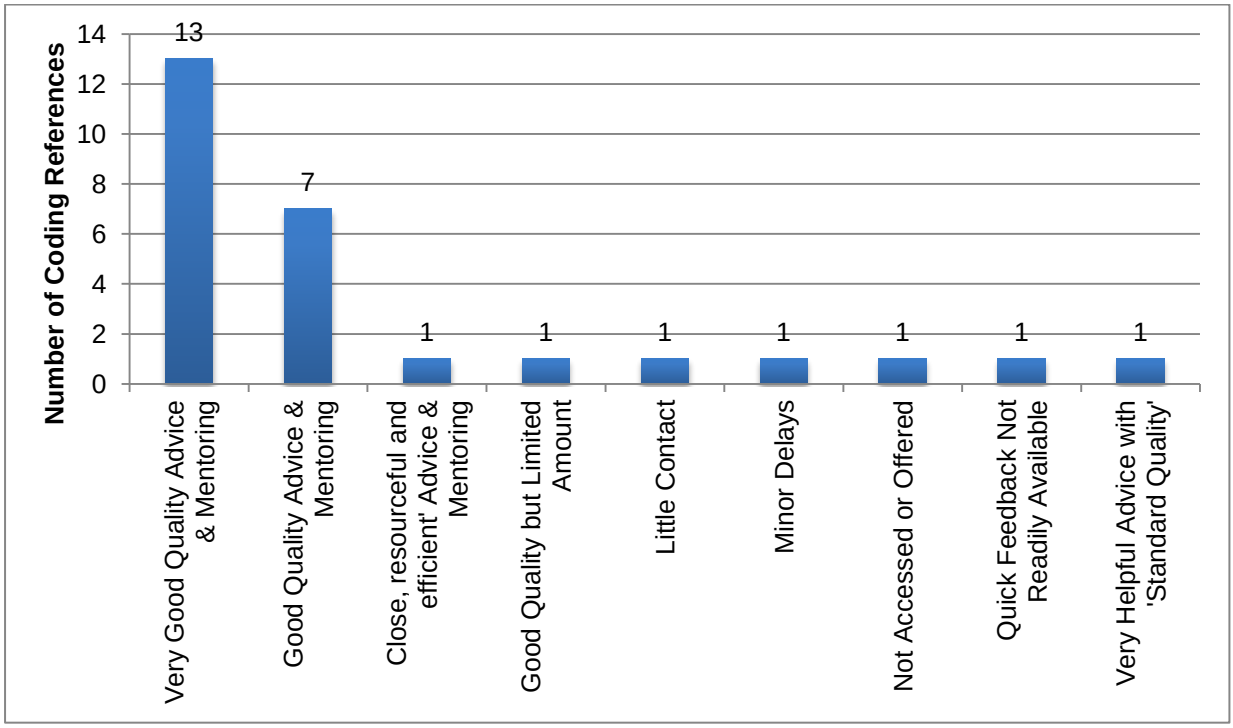
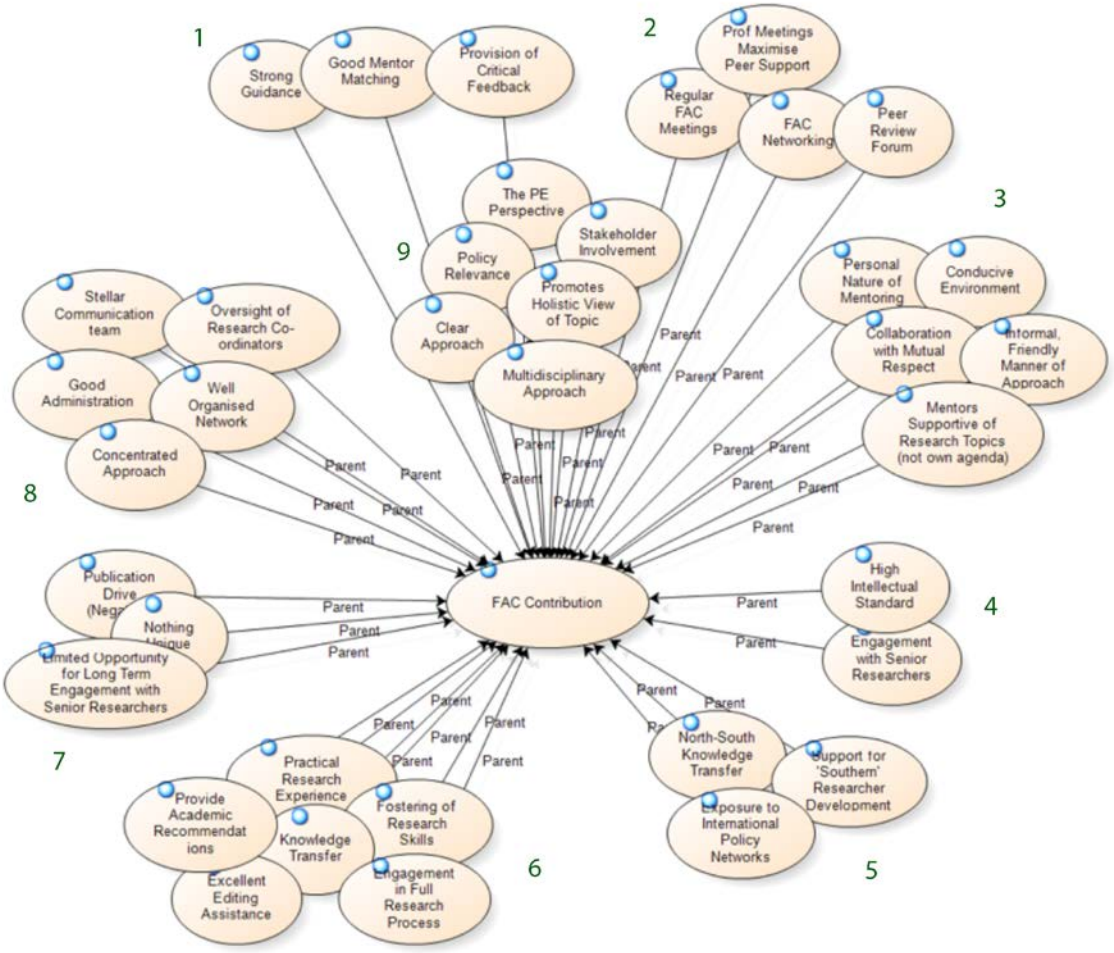


Table 1 Views on What is Unique/ Different About FAC Approach to Advice / Mentoring / Support (Q4.6)

Issue/Theme	Number of coding references	Issue/Theme	Number of coding references
FAC Networking	4	Limited Opportunity for Long Term Engagement with Senior Researchers	1
Personal Nature of Mentoring	4	Multidisciplinary Approach	1
Policy Relevance	4	Oversight of Research Co-ordinators	1
The PE Perspective	4	Practical Research Experience	1
Good Mentor Matching	3	Prof Meetings Maximise Peer Support	1
Informal, Friendly Manner of Approach	3	Promotes Holistic View of Topic	1
Exposure to International Policy Networks	2	Provision of Critical Feedback	1
Fostering of Research Skills	2	Publication Drive (Negative)	1
High Intellectual Standard	2	Regular FAC Meetings	1
Mentors Supportive of Research Topics (not own agenda)	2	Stakeholder Involvement	1
North-South Knowledge Transfer	2	Stellar Communication team	1
FAC Contribution\Nothing Unique	2	Strong Guidance	1
Peer Review Forum	2	Support for 'Southern' Researcher Development	1
Provide Academic Recommendations	2	Well Organised Network	1
Clear Approach	1		

Collaboration with Mutual Respect	1		
Concentrated Approach	1		
Conducive Environment	1		
Engagement in Full Research Process	1		
Engagement with Senior Researchers	1		
Excellent Editing Assistance	1		
Good Administration	1		
Knowledge Transfer	1		

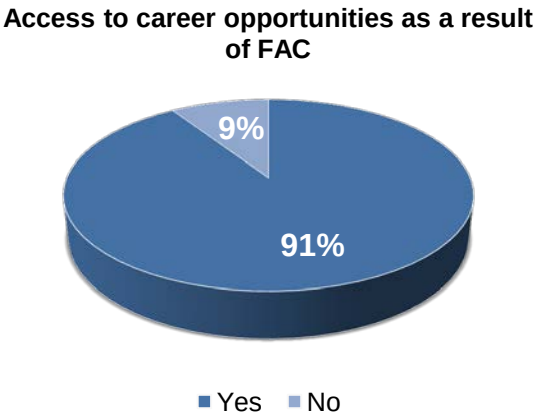
Figure 9 Views on What is Unique/ Different About FAC Approach to Advice / Mentoring / Support (Q4.6), Model



Influence on Career

A majority of respondents feel that the work they have done with FAC and the support they have received from the FAC network has enabled them to access career opportunities (such as employment, promotion, research grants, consultancy) which they might not otherwise have had.

Figure 10



Number of respondents =65

Among the small group who do not think that involvement with FAC has enhanced their career prospects (6 respondents), this tends to be because they are already well established in their careers or because the focus of their FAC research is only one part of their academic interest. Quotes include:

Quote 17

"Because I am already well seasoned"

Quote 18

"FAC has supported my career, which is already well advanced, but I do not foresee it enhancing my future opportunities"

Quote 19

"...the area I worked on with FAC is one of my interest areas.."

Those who reported a positive influence on their career as a result of engagement with FAC were asked to describe the ways in which this involvement has or will affect their current/ future opportunities (survey question 4.8).

Qualitative NVivo analysis of responses is largely positive and reflects an increase in the opportunities for work or promotion. A common feature of responses is the beneficial aspects of access to a wider professional network.

For a smaller number of respondents, comments reflect an improvement in the quality of their career e.g. through increased career focus, credibility, recognition, quality of work, or ability to work on a topic of personal interest.

Sample quotes from respondents are noted below.

Quote 20

"Engagement with FAC has given access to a large peer to peer network of researchers across Africa, which is key to developing new research proposals. I currently have two funded projects that have come directly as a result of FAC research and FAC networks." (Ref. 1)

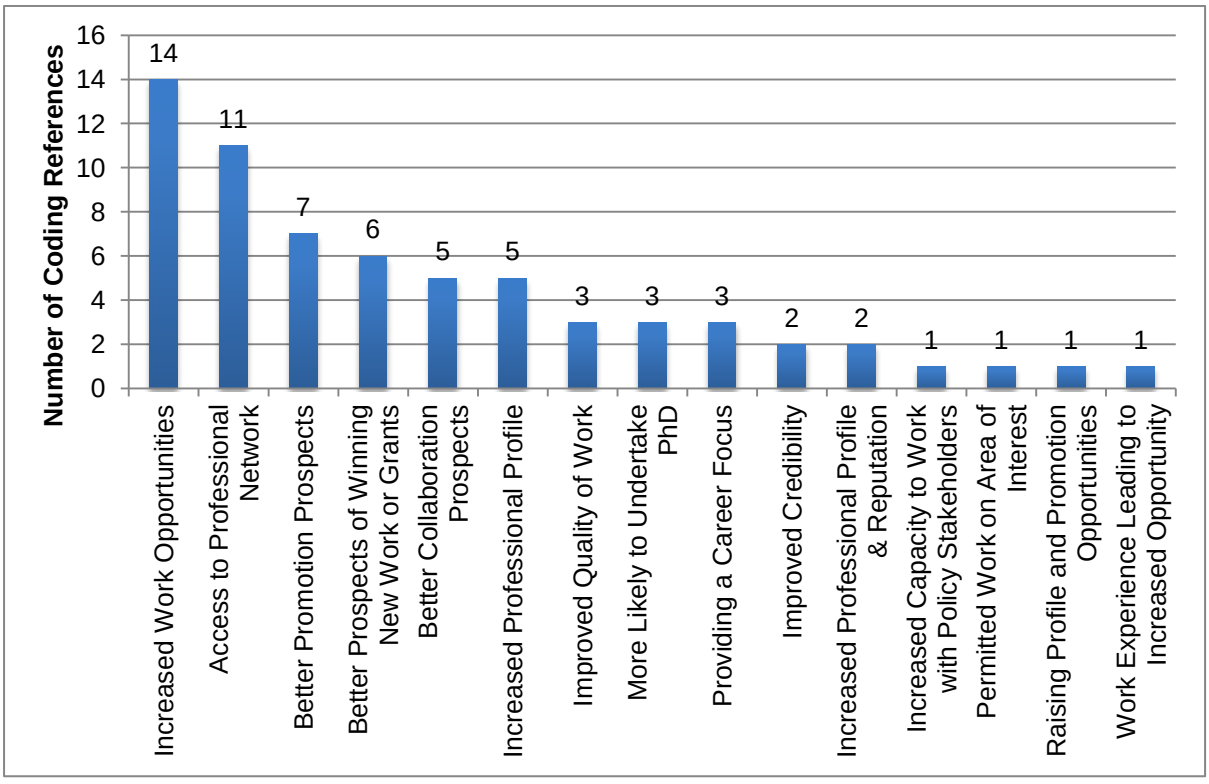
Quote 21

> *"In many ways. As most of my research outputs were posted on the FAC website, this helped me in networking me with a diverse group of people who I could not normally be linked with. This is in addition to the opportunity created through international workshops and conferences organised FAC. These kinds of networks created opportunities to work with international experts and institutions working on Ethiopian agriculture. I have worked with international research and development institutes which helps me to advance my career opportunities." (Refs. 3-4)*

Quote 22

> *"I was invited by the research coordinators to join them to apply for a research project on agriculture commercialisation which was successful. I am certain that our history with FAC was a positive factor. I am receiving more invitations to conferences than ever before. While this is not due solely to my involvement in FAC, my research outputs and publications from my FAC involvement have no doubt strengthened my reputation as a leading researcher on land tenure issues in Africa." (Ref. 14)*

Figure 11 Affect on Career Opportunities (Q4.8)



Engagement with Policy

A notable level of engagement with stakeholders and a degree of policy influence is identified by a number of respondents. Figure summarises the position of respondents with regard to engagement with policy. FAC researchers most frequently cite engagement with policy makers rather than actual policy influence (see Figure). As some respondents noted, the latter can be difficult to attribute.

For those researchers who have engaged with stakeholders or influenced policy through their work, it is usually at the national level: e.g. engaging in national projects, or meeting with national level officials (see Figure). However, for many of the respondents who expressed a view, interaction with policy makers or the policymaking process was not yet on the agenda. Often, the stage of their work was too early for this. While effective engagement with the policy making process may be a desirable

outcome of the FAC programme, one respondent highlighted the potential barriers facing researchers. They cited a strong reluctance to engage based on actual or potential hostility from local policy makers.

Sample quotes from respondents are noted below.

Quote 23

"During our involvement with FAC, we held no less than four policy workshops to disseminate our findings to communities and to policy makers. These were reported in the Ghanaian media. While we cannot directly attribute the recent efforts to regulate land deals in Ghana to our particular study, we certainly contributed to the pressure on policy makers to respond to the demands of communities and the general public for commercial land deals which benefit communities. Only this month, two US based consultants from a firm which had been tasked to draw up regulations for large scale commercial agricultural projects visited me to discuss our FAC research findings and to understand our recommendations for regulations." (Refs. 13-14)

Quote 24

"I have used it in the High Level Development Council which was constituted by former President Joyce Banda as an advisory body on development of Malawi. I used my FAC knowledge to contributing to prioritizing the development issues that Malawi should look at." (Refs. 8-9)

Quote 25

"Government officials in general feel challenged by political economy, and the more nationalistic are extremely hostile since my work is very critical of state performance in policy making and implementation." (Ref. 36)

Figure 12 Engagement with Policy Makers (Q4.10), Model

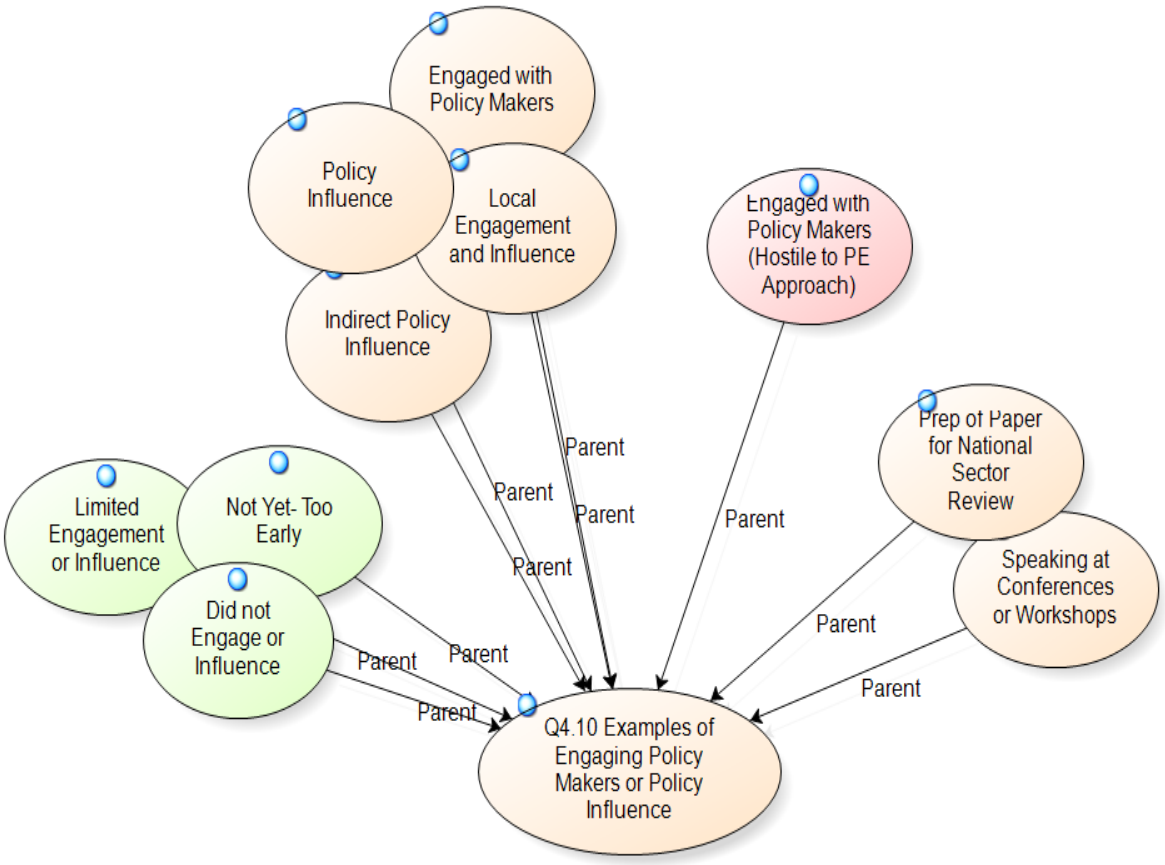


Figure 13 Engagement with Policy Makers (Q4.10)

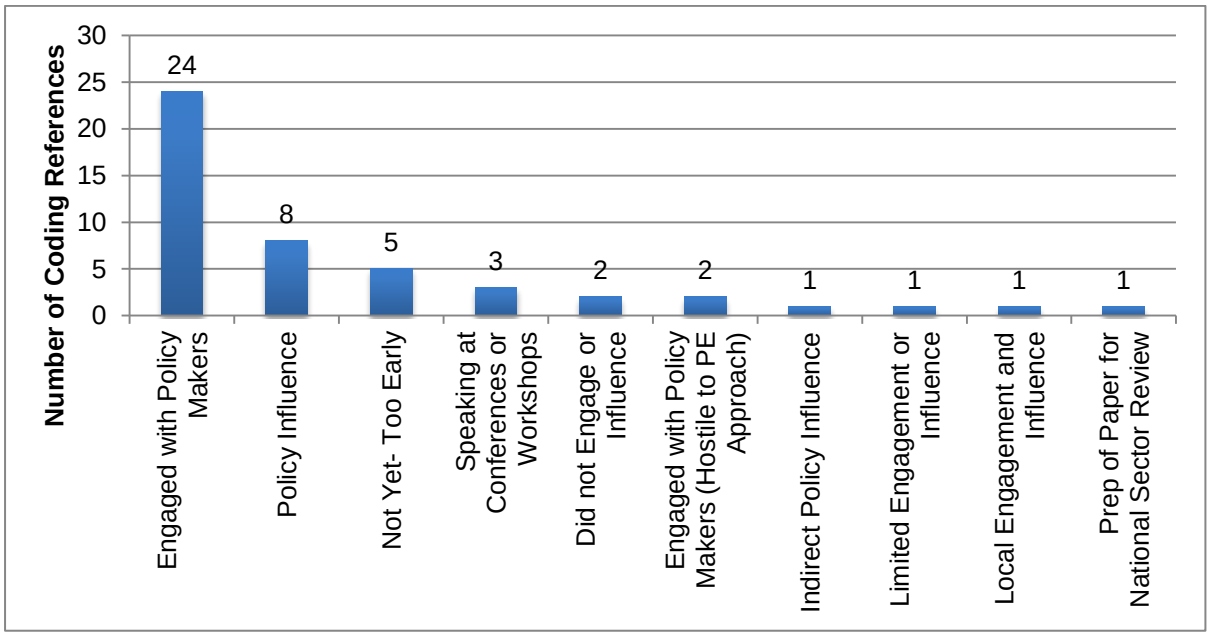
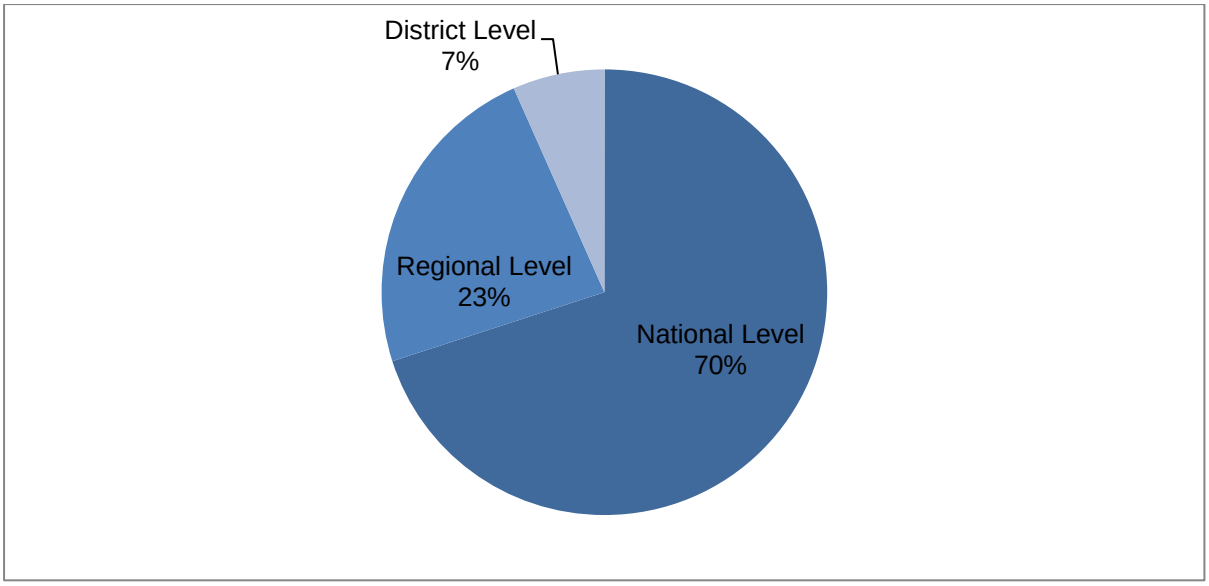


Figure 14 Engagement with Policy Makers, by Geographical Level (Q4.10), Per Cent of Coding References



n=30

The results of engaging with the policy process were explored further in the questionnaire survey. Figure summarises the view of respondents on the perceived effect of their work.

The types of effect fall into a number of categories:

- Those where a clear policy influence is identified (shaded red);
- Those where the influence is more directed towards engaging in debate and raising awareness of relevant issues amongst stakeholders;
- Those where the influence is unclear, or is expressed more in terms of the personal benefits gained from the process of engagement; and lastly
- Those respondents where either no policy influences were discernable or where their engagement was at too early a stage.

Most commonly, the type of benefit identified is associated with awareness raising among stakeholders and informing discussion around policy (see Figure). Nonetheless, several respondents also cite examples of tangible influence on policy.

Sample quotes from respondents are noted below.

Quote 26

> *"Our research findings did inspire the Ministry's work on improving policy in arid and semi arid areas. Other donors who were invited also came to be aware of our policy work, such as USAID and International Development Research Center (IDRC). The EAC will follow up with member states to actively participate in these activities." (Refs. 5-6)*

Quote 27

> *"Some of the proposed measures to improve the Malawi Farm Input Subsidy Programme were taken on board. The research also stirred debates about contentious issues in the programme such as graduation of beneficiaries." (Refs. 14-15)*

Quote 28

"The information from the research we had done was widely shared with policy makers." (Ref. 8)

Figure 15 Outcomes / Impact of Engagement with Policy Makers or Influence on Policy Process, Model

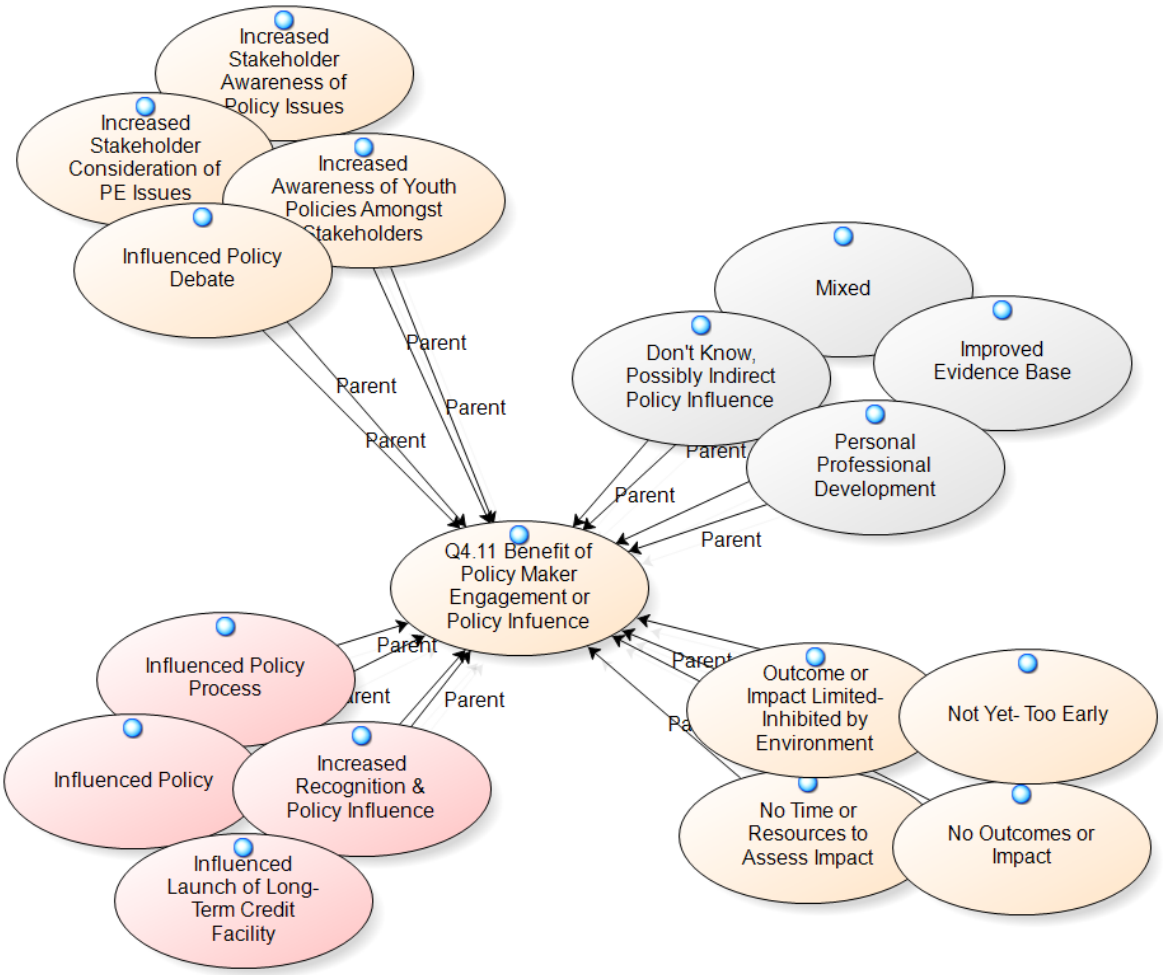
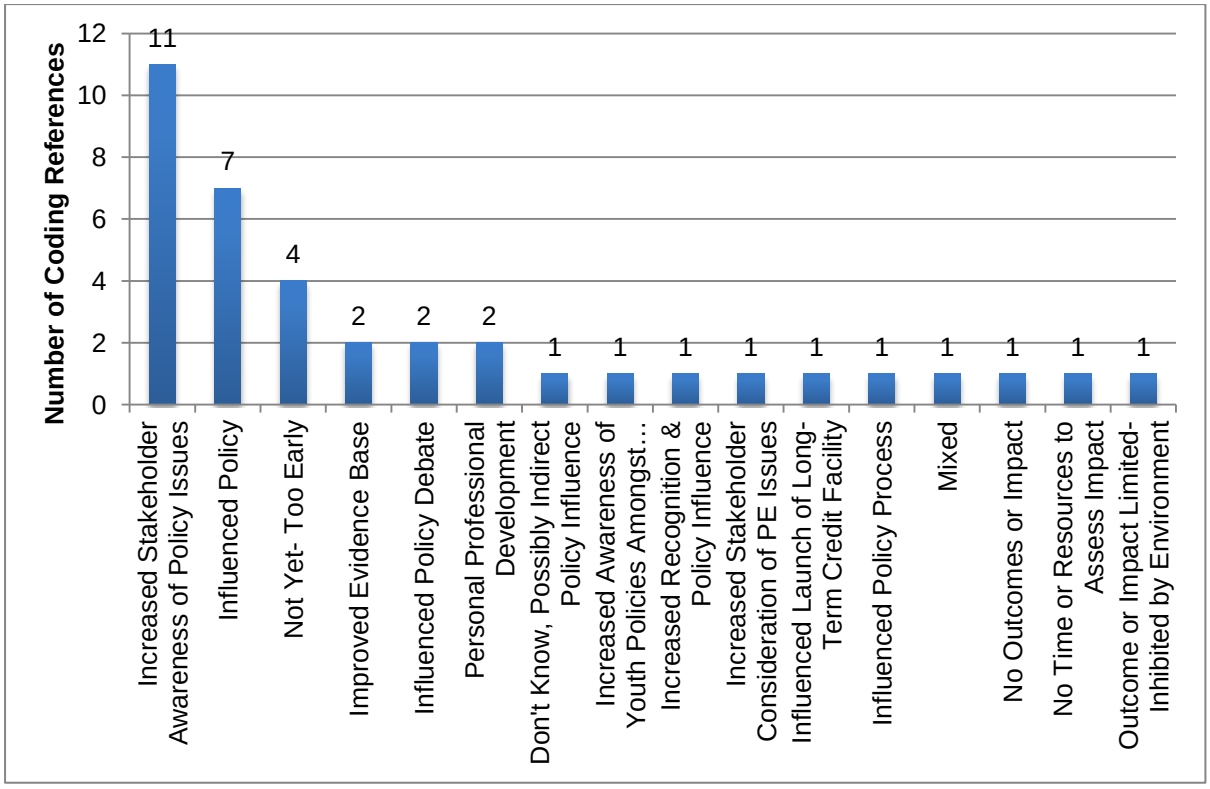


Figure 16 Outcomes / Impact of Engagement with Policy Makers or Influence on Policy Process



Engagement with wider FAC work and networks

In addition to their own work, the majority of survey respondents engage with FAC in a variety of other ways; the most common of which being reading FAC policy briefs, reading the FAC newsletter, attending events organised by FAC and using the FAC website; over 70% of respondents indicate that they engage with FAC in these ways.

Overwhelmingly, respondents are positive that they would recommend FAC research outputs/ activities as a source of information to others and nearly all (61 of the 64 who answered the question) have already done so.

At the time of the survey, three quarters of respondents who answered the question were still undertaking research in conjunction with FAC (or indicated that they are likely to undertake further research in conjunction with FAC in future). Of those who have completed their research (17 respondents) around half (8 respondents) have maintained links and continue to collaborate with other FAC members. The vast majority of respondents (57 of 63 who responded) feel that their experience with FAC has strengthened their connections with other researchers in their field.

Nature and impact of research collaboration

Those indicating that their experience with FAC has strengthened their connections with other researchers in their field were asked to comment on why this has been the case and what the impact of this has been for them/ their organisations (survey question 5.7).

Qualitative NVivo analysis of responses reveals that the nature of collaboration fostered by the FAC network is varied. The range of areas for collaboration cited by respondents in their open-ended responses is as follows:

- Analysing study data;
- Conferences;
- Consultation;
- Data collection;
- Dissemination of research;
- Exchange of information;
- Presentation participation;
- Project evaluation;
- Publication;
- Workshop participation;
- Writing a book chapter; and
- Writing papers.

Respondents also commented upon the impact of collaboration, for them as individuals and for thier organisations. Responses have been grouped into clusters as illustrated in the model below (see Figure 17):

- International perspectives;
- Academic discussion;
- Network development;
- Career impacts;
- Skills and research outputs;
- Institutional benefits;
- Enhanced future collaboration/ work opportunities; and
- Increased flow of knowledge.

Of these different types of benefits deriving from strengthened connections, by far the most commonly cited is participation in wider and deeper professional networks (see Figure 18). This core feature is a key to improved professional opportunity, skills development, recognition, and research development.

Sample quotes from respondents are noted below.

Quote 29

> *"Involvement in FAC research has brought me in contact with a number of new people in my field, which I have developed further proposals with, some of which have been funded." (Refs. 1-2)*

Quote 30

> *"I have be invited to participate in several projects with focus on Malawi on the basis of my work with FAC, invited to give key note speeches at local workshops, invited to several international conferences and invited to undertake consultancies in Malawi." (Refs. 11-13)*

Quote 31

> *"This has improved our network as an institution and through constant communication, we have been able to collaborate with a number of FAC researchers in other research work--outside FAC." (Ref. 47)*

Figure 17 Impact of Strengthened Connections for Individual / Organisation (Q5.7), Model

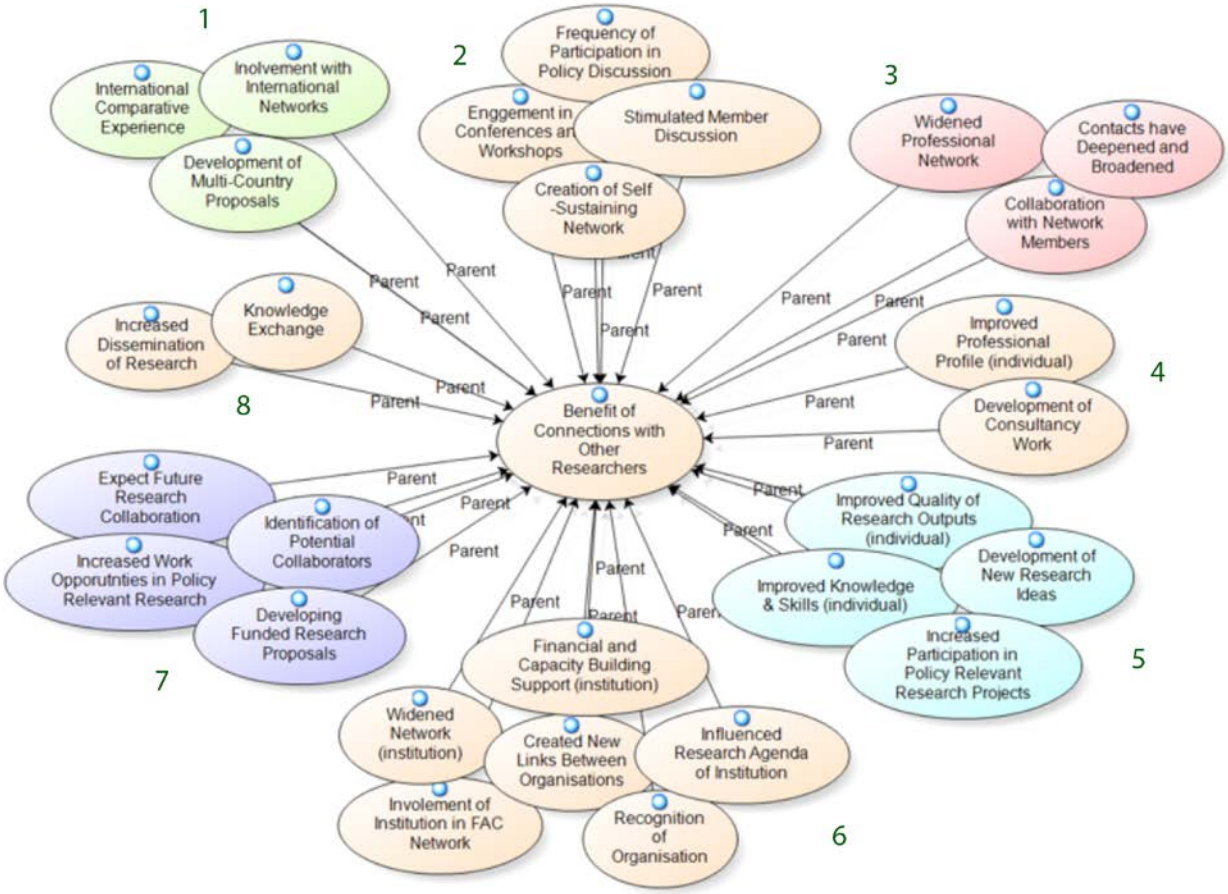
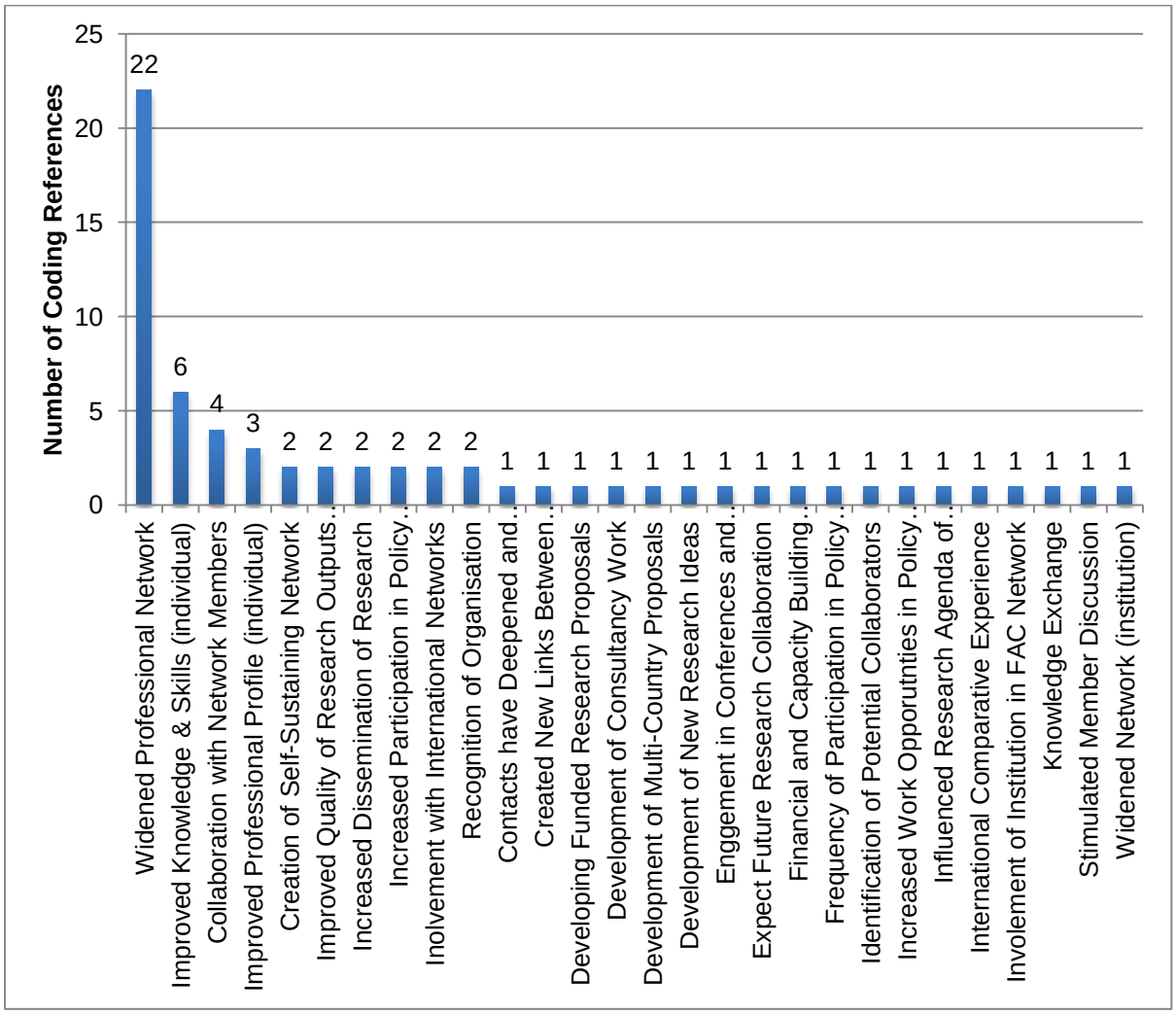


Figure 18 Impact of Strengthened Connections for Individual / Organisation (Q5.7)



Conclusions

This section provides an analysis of the quantitative and qualitative open-ended responses to the survey of FAC researchers, with the aim of providing an in-depth understanding of the range of attitudes, beliefs, behaviours and attributes of researchers in relation to the study questions.

Overall it is apparent that respondents value the role of FAC in providing a supportive structure for the development of a range of research competencies, a strong theoretical framework and career enhancement through professional networking.

In terms of impact, engagement with policy stakeholders is prominent, although some respondents do not feel this is yet appropriate to the stage of their work. Direct policy influence is less common, but is still a feature cited by many researchers and most often at the national level.

More generally, access to an international professional network is highly valued and viewed as a route to enhanced career progression, skills and knowledge development, increased professional status, and access to further work.

APPENDIX 8: EXTENDED IMPACT STORIES

upperquartile

Impact Story 1 – Co-founding the Land Deal Politics Initiative in 2010 as a Global Research Network

Author: Carl Jackson

Executive summary

The Land Deal Politics Initiative (LDPI) is a platform for generating, highlighting and discussing political economy evidence on land deals globally for and with policy makers, NGOs and civil society and building the capacity of young, largely African, researchers as part of these processes. LDPI was co-convened in 2010 by FAC along with four other international agricultural research programmes in South Africa, Canada, the Netherlands and the United States. They perceived that the rising media interest in 'land grabs', fragmented and low quality responses from academic, policy and advocacy actors, and the beginnings of multilateral processes to address the issue presented a **moment of opportunity for a more political economy approach**. The primary activities of LDPI were: two international conferences on Global Land Grabbing (IDS – April 2011; Cornell – October 2012); 41 small grants to predominantly young/ new / African researchers; research grants to other researchers; plus related research outputs (online proceedings, social media, three special issues of Journal of Peasant Studies, a special issue of Development and Change, LDPI Working Papers and Policy Briefs). Through co-convening LDPI, FAC has significantly contributed to making the land deals policy space one where more evidence informed positions on land deals policy are now taken by most stakeholders. Political economy evidence, that prominently includes the perspectives of southern researchers, is available and drawn upon, that compliments more traditional quantitative macro data, and shows where attention is needed, the impact on / priority for getting benefits for communities, and transparency issues. LDPI has also strengthened the capacity of 41 young, predominantly African, researchers in political economy research / policy influencing and advanced their career prospects.

Description of the impact event

The impact event explored here is the Land Deal Politics Initiative functioning as a platform and network generating solid evidence through detailed, field-based research that incorporates and complements a range of policy-oriented donor and NGO-led reviews, as well as more activist political work on global land deals. LDPI sought two main outcomes:

- to engage in dialogue with social movements, activists, policy makers, and concerned academics to produce data and discuss their implications
- to build a public database with different viewpoints, studies and surveys outlining the extent, nature and impact of changes in land use and land property relations around the world

FAC co-founded the LDPI in 2010 as a global research network with Initiatives in Critical Agrarian Studies (ICAS) at Saint Mary's University in Canada; PLAAS at the University of the Western Cape in South Africa; Resource, Environment and Livelihoods (RELIVE) at the International Institute of Social Studies (ISS) in the Netherlands; and the Polson Institute for Global Development at Cornell University in the United States.

The primary activities of LDPI were two international conferences on Global Land Grabbing (IDS – April 2011; Cornell – October 2012), 41 small grants to predominantly young / new / African researchers, plus related research outputs: online proceedings, social media (Storify, Twitter, podcasts, Youtube), three special issues of Journal of Peasant Studies, a special issue of Development and Change, LDPI Working Papers and Policy Briefs.

The LDPI sat within the wider FAC Land theme which in 2011 defined its desired outcome as being that

> *"national governments adopt changed approaches to securing private sector investments in agriculture (in policy and/or practice), promoting better practices in leasing out public/customary lands, and alternatives to large-scale land acquisitions; the African Union establishes an African ministerial council on land and foreign investment; regional economic*

commissions sign up to a guidelines on good land governance (based on the AU land policy guidelines) that explicitly deals with large-scale land acquisitions; and civil society campaigns and their messages (in terms of critique and alternatives) are informed and nuanced by empirical research" (excerpt from FAC Land Theme Pathways to Impact, March 2011)

Sources of information and methodology

This analysis has been developed through an online survey and interviews with a selection of actors involved in LDPI activities (e.g. conference participants, LDPI coordinators, FAC Land Theme Coordinators) and through results of an online survey on capacity development that included LDPI Small Grant recipients. A range of mainly FAC originated documentation; websites and the FAC output database were also consulted.

An adapted version of the Rapid Outcome Assessment (ROA) was used to structure the online survey and interviews and to analyse the information presented. The 'impact event' around LDPI was selected by the evaluation team from a list provided by FAC.

Timeline

- 2008 Growth of private sector interest in investment in African agriculture post US housing and global financial markets crash 2008
- 2009 Voluntary Guidelines on Responsible Governance of Tenure of Land (VGGT) process begins
- 2009 Increasing INGO / Civil Society (IIED) and media focus on land grabs
- 2009 Biofuels, Land and Agrarian Change Conference in Halifax
- 2009 / 10 land grabs databases initiated by GRAIN and Land Matrix
- 2010 (Jan) Land Deal Politics Initiative is launched
- 2010 LDPI Small Grants Round 1
- 2010 LDPI Side Event at FAO at Committee on Food Security at request of Civil Society
- 2011 Global Land Grabbing I conference at IDS, Sussex, UK
- 2011 LDPI Small Grants Round 2
- 2012 Global Land Grabbing II conference at Polson Institute, Ithaca, USA
- 2012 VGGT approved
- 2014 AU Land Politics Initiative - Land Policy in Africa Conference, Agricultural Investment, Gender and Land in Africa Conference

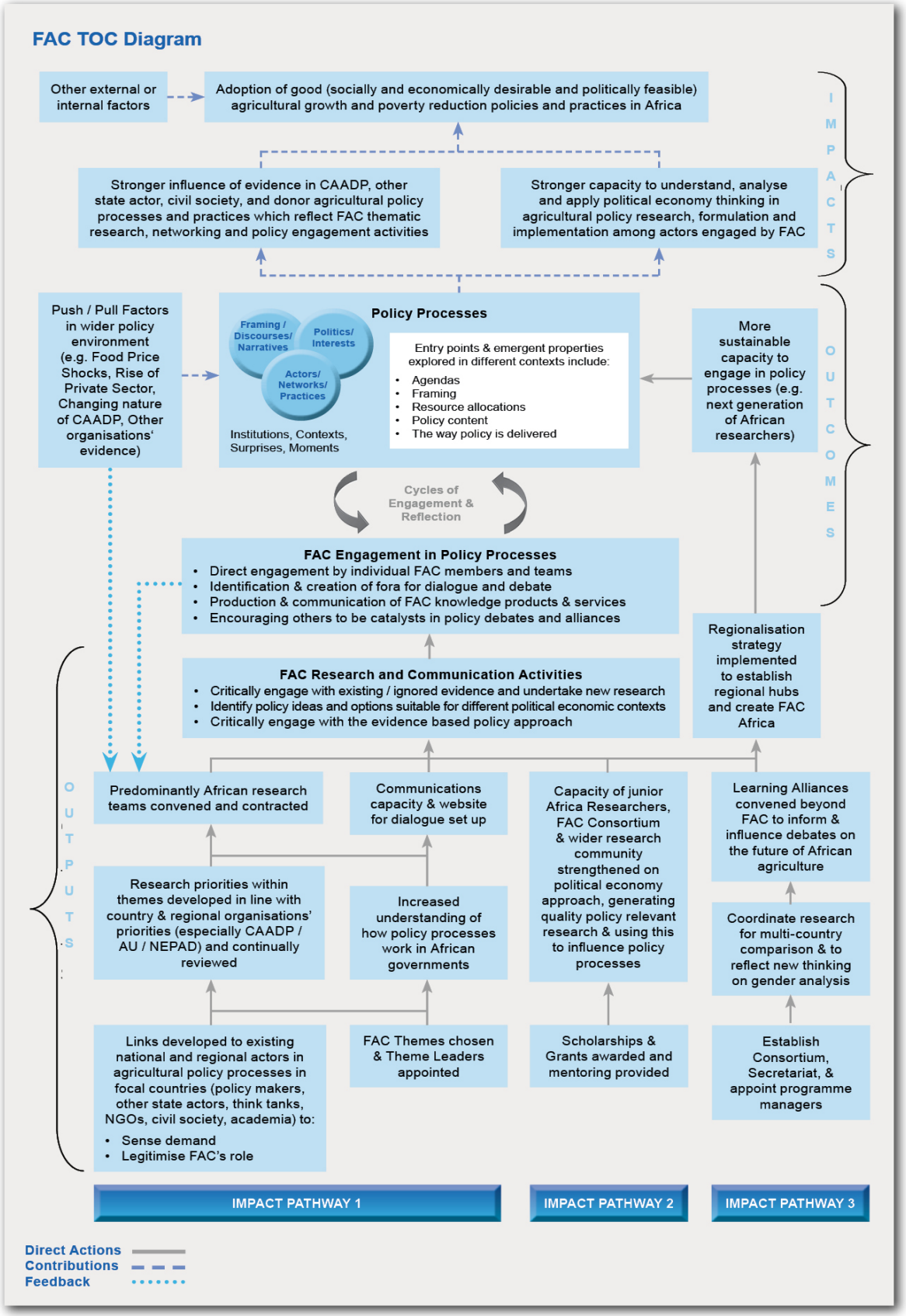
Starting policy environment and background

From 2008 following the US housing and global financial markets crash there was a growth of private sector interest in investment in African land. INGOs and civil society were raising awareness / focus and this was resulting in the media reporting *killer facts* about land grabs in a rather sensationalist way. There was limited conceptual framing of the issue or scientific analysis of complex drivers behind land grabs. By 2009 /10 land grabs had become a hot topic but:

- civil society hadn't take much action;
- the World Bank was leading research but not reflecting on its role in the emerging crisis;
- researchers were fragmented;
- donor government agencies awareness was building but work was still focused on tenure issues;
- the Committee on World Food Security was starting the Voluntary Guidelines Process (FAO) but struggling to balance views from states, civil society and business; and
- developing country governments were seeking to maximise investments.

Links to FAC's Theory of Change

The Land Deal Politics Initiative maps onto FAC's Theory of Change primarily within Impact Pathways 2 and 3.



Related assumptions in the TOC include:

Impact Pathway 2

(l) Junior researchers attracted to working with FAC and able to benefit from the opportunity provided

(m) Senior FAC members willing and able to provide necessary mentoring to junior fellows

(n) Field work supervision and support through existing FAC projects and opportunities for publication can be provided by FAC

Impact Pathway 3

(q) Linguistic and cultural barriers can be surmounted through close partnership arrangements

The behaviour change of key actors that most effected LDPI

The behaviour of multilateral organisations changing to take more account of a wider range evidence and of governance and community impacts relating to the nature and scale of land investments and acquisitions (notably FAO and the World Bank Group) most effected the impact of LDPI by creating a platform on land deals that incorporates diverse views from civil society, academia (especially in Africa), and donors. Movement in this direction by multilaterals has legitimised the space, approaches and framing that the LDPI created.

Further, the behaviour of academics working on land issues changing to take a more policy process orientated, engaged and capacity development approach to evidence gathering is also notable. For example, the Journal of Peasant Studies editors attribute their number one Thomson Reuters Journal Impact Factor ranking for 'planning and development' and 'anthropology' for two consecutive years (2012 and 2013) to LDPI special issues in their journal. This revitalised prominence for land tenure as a research theme and brought multiplier effects, attracting more researchers (as reported by an LDPI member in his role as co-editor of the Journal of Peasant Studies). This behaviour change is also notable within members of the LDPI itself. This is because they are now translating what was a successfully opportunistic, responsive and experimental approach at the global level into a more strategic and regionalised one that still retains the agile structures and leadership used in LDPI.

The key contributions of FAC and other actors

FAC's key contributions to the LDPI are fourfold. Firstly, conceiving LDPI as a diverse platform for evidence gathering and engagement that included all the major actors - donors, civil society / NGOs, and southern researchers - from the outset, as well as the northern researchers traditionally dominating such evidence focused spaces (e.g. first global conference had 150 plus participants and over 400 wanting to attend, and LDPI has an international network of 90 researchers). Secondly, making funding available for two rounds of LDPI Small Grants to a relatively large number of primarily young African Researchers to gather field based evidence, engage in land deals policy processes at an international level and develop their capacity and publishing profile, rather than using the same funds to commission a less diverse and well established number of mainly northern research consultants (potentially at less risk and management cost). Thirdly, providing communications expertise in websites, press and social media to document and report on the first Global Land Grabs Conference in real time and with a significant output that was markedly of a high standard. Finally, dynamic leadership by the FAC Land Theme Conveners who enabled LDPI to leverage their extensive networks of academic, civil society and donor actors (especially connected to Africa) to rapidly mobilise and sustain those actors commitment, resources in kind and access to policy processes.

Other actors who made a key contribution to LDPI's impact are the LDPI regional leads based within partner institutions (ICAS and Cornell's Polson Institute). Specifically, LDPI members' role on the editorial board of the Journal of Peasant Studies enabled LDPI to have a high profile vehicle for publishing research (through two special issues on land grabs) and helped get their contribution of funds for the participation of LDPI Small Grant recipients at the Global Land Grabs conferences. A paper for the FAO on land acquisition issues was also influential with multilateral organisations.

The relative contribution of FAC to the LDPI compared to external push / pull factors

It is clear that the growth of private sector interest in investment in African agriculture following the US housing and global financial markets crash of 2008 (that limited traditional investment options, associated in some countries with the phenomenon of large scale land acquisitions, and subsequent media attention promoted by civil society advocacy) created a **very clear moment of opportunity for FAC to co-convene the LDPI.** The start of the Voluntary Guidelines discussions in 2009/10 also created a policy process focus that the founders of LDPI could relate their work too. Attempting to co-convene LDPI without these factors would have been much more difficult. Spotting such moments in policy processes and their relevance to FAC's mandate to strengthen use of evidence and capacity in political economy analysis is itself central to FAC's opportunistic way of working. It is notable that that no platform on land deals with a comparable global reach, membership or diversity of stakeholders to LDPI was established during the same period. The Land AC platform (www.landgovernance.org) covers similar issues but is more centred on the European academic and donor space and their international partners.

Changes that failed to happen in LDPI

The LDPI sought to achieve two changes (see above). These can be said to have been very largely achieved.

However, with regard to policy makers, although donor and bilateral actors have been significantly engaged from the outset of LDPI, those within African governments have only latterly been a significant focus[106]; although they were invited to attend the LDPI conferences they chose not to. In the wider work of the FAC Land theme there has been significant engagement with African policy makers during this period (for example engagement with the Pan African Parliament on land deals). It is not clear however that members of parliament from Africa would not have also benefited from involvement in LDPI conferences.

Key informants consulted in the evaluation of FAC also note a lack of change in the behaviour of investors and business between 2010 and 2014 (in terms of not being well connected to academia or advocacy organisations). This was not however a specific objective of FAC and, once again, while members of the investment community were invited to LDPI conferences, they chose not to attend.

The role of FAC's political economy thinking in LDPI

The LDPI is a clear example of the application of FAC's political economy thinking to the production and analysis of evidence and the creation of spaces for debate between actors with different levels of power. FAC co-convened LDPI as a platform and network to generate solid evidence (some of it for the first time) through detailed, field-based research that would incorporate and complement a range of policy-oriented donor and NGO-led reviews, as well as more activist political work. It sought to map, make sense of and inform questions asked and terminology used to frame discourses and narratives that key informants have variously described as being, at the time, *fragmented*, *sensationalist*, *unscientific*, *unsystematic*, *overly quantitative*, *self-referential*, and *traditional*. In creating spaces that brought together academics, donors and activists from diverse locations globally, LDPI was paying attention to the role of actors and gaps in their networks. In commissioning case study research within country-level political economy analysis by established academics (Nigeria, Ghana, Kenya, Malawi, South Africa) and LDPI Small Grants for topics with a political economy perspective in field work, there was a strong focus on politics and interests.

LDPI changes relative to FAC's Theory of Change

Social movements, activists, policy makers, and concerned academics have engaged in dialogue at two global and two African regional conferences (one forthcoming November 2014) to discuss the implications of evidence produced by LDPI and others. This change sits within the ***Stronger Influence*** impact box of FAC's ToC in terms of civil society and donor agricultural policy processes, and recently state actors at the regional level in Africa.

[106] E.g. the Land Policy Initiative with AU on the 2014 Land Policy in Africa conference forthcoming

A public collection of LDPI evidence from funded research, along with different viewpoints expressed during LDPI conferences outlining the extent, nature and impact of changes in land use and land property relations around the world (particularly in Africa) is available on the FAC, PLAAS, and Cornell Websites. Some of the LDPI related journal articles and book chapters are currently publically accessible, and special codes allowing access to a wider audience were available at the time of the journal issue's launch. These have now expired and a significant number are now behind pay-walls (this is not untypical for international development research sector). Despite this these journal articles continue to be widely cited and downloaded (e.g. at a higher level than articles in other volumes of the Journal of Peasant Studies). This change sits within the ***Stronger Capacity*** impact box of FAC's ToC in terms of understanding, analysis and application of political economy thinking.

In the same impact box is a significant change not originally set out as an LDPI objective, but central to FAC's ToC, namely building the capacity of junior African researchers through two rounds of the LDPI Small Grants to some 41 individuals.

The synergy between the elements of FAC interventions in policy processes

In the LDPI there has been a strong synergy between all four elements of FAC's interventions in policy processes that transcends the effect that would have been achieved by engaging through conferences, publications, and communications in traditionally linear research process.

Firstly, co-convening LDPI with four other institutions with a wider geographic scope and complimentary networks and resources is an example of successfully catalysing others to engage in an alliance. This alliance enabled LDPI to hold the GLGII conference and a follow up event in the US with LDPI member, the Polson Institute for Global Development at Cornell. ISS also hosted LDPI events that attracted researchers from across Europe, as well as policy makers from the Dutch government, NGOs, and the European Commission. These have been important events to extend and consolidate the network, as well as launch and advertise outputs from the LDPI supported research. The alliance enabled FAC to gain access to publishing and other resources of the Journal of Peasant Studies through three LDPI member organisations having staff on the editorial board. The LDPI has also established an international network of 90 researchers working on land grabs.

The first LDPI conference was very successfully communicated by the FAC communications team through web, press and social media (e.g. full page coverage in The Economist[107], and 472 downloads per paper sits towards the top of the range for all FAC conferences). This contrasts to the second conference where Cornell (the host) did not have the same level of communications capacity as FAC does through IDS. This meant that the level of live reporting and documentation of the conference process as presented on the conference pages of Cornell's website was more limited. The FAC communications officer was present at Cornell, but did not have a strong counterpart and the Cornell website did not have as powerful web and social media tools as that of IDS.

Contacts and dialogue by Land Theme Co-convenors have been instrumental to the establishment and success of LDPI as a distinctive and trusted platform in this contested policy space because it engages an unusually diverse set of actors for a research led initiative (i.e. policy makers and civil society / NGOs as well as academics and also southern and young researchers as well as northern and established ones) and systematically invests in informal engagement (e.g. phone calls, rapid response emails, and quick comments on documents).

How cycles of engagement and reflection between FAC interventions and policy processes worked in practice

There are two clear examples of where reflection after engagement of the LDPI have resulted in a change of focus or approach. Firstly, following the first Global Land Grabs conference the emphasis for the second was shifted more towards engaging on numbers, methods, investors, processes, and how to conceptualize them. This is evidence of a maturing of the LDPI approach, and determination

[107] The Surge in Land Deals, The Economist 5 May 2011: http://www.economist.com/node/18648855?story_id=18648855

to move forward and not repeat. Secondly, following the second conference LDPI decided against another global conference as it was felt the original moment had passed. Instead LDPI is in future focusing on a more regionalised and capacity building focus in Africa (e.g. Land Politics Initiative with AU / AfDB / UNECA including the Land Policy in Africa conference with FAC + IIED and the Agricultural Investment, Gender and Land in Africa conference LPI+PLAAS at request of FAO; and capacity building write shops for future LDPI research grants to better support less experienced young African researchers than remote and individualised mentoring). PLAAS (LDPI member) seems confident that funds can be raised for these future LDPI activities.

Using institutions, contexts, surprises and moments to influence policy processes

The LDPI was not originally part of FAC's intended work plan. The rapidly emerging land deals issue, increasing levels of media coverage and the beginning of the FAO Voluntary Guidelines process presented a moment when FAC's theory of change could be implemented in relation to land. FAC was able to use its budget flexibly to work with LDPI partners to convene the first Global Land Grabs conference at very short notice, to leverage its research networks to get significant evidence gathered and published in a short time frame and to secure diverse and high level participation from its policy and civil society / NGO networks. The fact that LDPI now feels that this moment has now passed at the global level and multinational policy is now being implemented (e.g. Voluntary Guidelines, IFC Performance Standards) has lead to the more regional and decision-maker focus for LDPI in Africa going forward.

How to design, monitor and manage research in ways that create and sustain space to work with emergent properties and entry points in policy processes

FAC's co-convening of LDPI is marked by an agile and personally based leadership approach to design and management. The rapid way in which LDPI moved from concept to the first conference and built in innovative research capacity building grant funding would have been much more difficult had FAC had a less flexible plan and budgeting framework. The space to work with emergent properties and entry points is well served by agile administrative and management processes and a relatively high level impact and outcome focused (rather than input and output focused) log frame.

The relative autonomy of FAC theme leaders to manage research in ways that leverage their personal networks (if they are strong) has been shown in the case of LDPI to result in high levels of commitment from collaborators and participants. This would have been more difficult to achieve had FAC management been subject to a more committee based model and strong upward accountability to host organisations' plans. Research managers who are personally highly networked and tuned into the diverse stakeholders of particular policy processes are well suited to creating and sustaining spaces to work with emergence and temporary entry points. This is not a capacity that can be rapidly acquired or easily transferred between very different themes / sectors.

Monitoring the effectiveness of research on policy processes is something that is resource intensive and methodologically challenging. The complexity of policy processes, in terms of the diversity of stakeholders, locations and contextual influences, places a potentially large burden on monitoring compared to more single instrument and less contextualised approaches to policy change (e.g. research commissioned to evidence the basis for a pre-identified policy change in a defined location). A greater resource share for monitoring is probably required for policy process approaches.

The choice of method to monitor policy process approaches is also less clear cut. The literature on complexity science and systems thinking as applied to international development is not yet mature and there are several alternative and prototypical related monitoring and learning methods to choose between (e.g. Participatory Pathways Impact Analysis, Rapid Outcome Mapping, Most Significant Change, Cynefin Micro Narratives, Social Learning, Theory of Change etc). In addition, few of these have a direct overlap with mainstream M&E standards in the international development sector and can be seen as both more resource intensive and less robust in comparison. FAC began implementing the Participatory Pathways Impact Analysis approach but did not sustain it. More experimentation, rapid and comparative learning from candidate monitoring and learning methods for policy process approaches to change is probably required by research initiatives like FAC.

How evidence is now being used in the land deals policy area

Key informants reported that INGOs and civil society are now taking more evidence informed decisions in their positions on land deals. The GLGI conference provided some of the first field-based research on which civil society could later base its campaigning (e.g. Oxfam UK Land and Power Work). A dent was made in World Bank dominance of policy, but their view is still more important than that of LDPI in this space. This isn't surprising given that the World Bank discourse is driven by their comparatively much larger research spend than FAC.

There has however been a shift in nature of multilateral organisation and donor government agency policy debate and decision making to be more scientifically informed because LDPI provided evidence of where attention was needed and on impact on / getting benefits for communities, and transparency issues. The African Union Land Politics Initiative is now working with LDPI researchers (e.g. Land Policy in Africa conference - Ghana, FAC + IIED and Agricultural Investment, Gender and Land in Africa conference- LPI and PLAAS at request of FAO). Some agribusiness / food companies feel social pressure to pay attention to issues in their value chains or operations and global norms/guidelines (e.g. Coca Cola and Pepsi Cola via the Behind the Brands and Grow campaigns of Oxfam UK who were themselves influenced by LDPI research).

Value for Money

This is very hard to quantify or attribute. Land grabbing has continued but there is now increased awareness from both private sector actors and governments/international financial institutions that it is a problem. Many types of land policies have now been developed. For example, the Coca-Cola/Pepsi/Nestle zero-tolerance for land grabs policies as a result of Oxfam's Behind the Brands campaign. This campaign was itself to a large extent based on the Voluntary Guidelines that LDPI contributed towards through influencing the work of actors like Oxfam UK through conferences and evidence (as reported by Oxfam UK Land Rights Policy team).

In terms of efficiency, the fact that LDPI could draw on FAC's wider networks in Africa to leverage researcher commitment, self-funded participation in conferences and quick additional funding from sources like the Ford Foundation added to value for money of LDPI's work.

The use of small grants and mentoring is a good example of FAC using its resources effectively. These incentivised 41 postgraduate students to document land deals, across 14 countries in Africa, for extremely little money (£2,000 per grant). Their reports were then leveraged to produce a working paper series, with many papers presented at the LDPI conferences, and several ending up in special issues of international journals from where they are being used and cited. The grant recipients also benefited in terms of having their capacity built.

To strengthen impact and boost value for money, FAC could consider more explicitly involving new organisations that have a large potential to scale positive agricultural policy if they are influenced (for example the private sector in Africa). Continued core funding of FAC's ability to network is essential to sustaining efficiencies (e.g. leveraging researcher commitment, self-funding of participants in conferences and quick additional funding from sources like the Ford Foundation) that rely on this capability to unlock them.

How FAC worked with other actors and networks

There is a mixed picture here, with some key informants unable to comment and others seeing LDPI as working effectively with other actors and networks at the conferences. One commented that LDPI hasn't worked with other actors and networks as effectively as the Land AC network (www.landgovernance.org). However, as noted above, the Land AC has a more limited European network focus than FAC. Another KI commented that LDPI should perhaps have responded to the request it received to engage with the Bellagio/Interlaken community land rights process. Ultimately LDPI's decision to focus on a few global actors (e.g. FAO and the voluntary guidelines process) and through FAC's wider Land Theme work on selected regional African actors (Pan African Parliament and AU / UNECA) was sensible in terms of FAC's theory of change. Work with other, mainly

northern, land deal networks would have taken resources away from these processes and added less value. But with more resources, being able to do both would probably have been desirable.

Gender and social inclusion

In terms of the simple gender break down of LDPI activities, female participation in conferences of just over 40% was much better than the FAC log frame target of 25% and against a log frame baseline figure of 10%. Similarly in terms of the LDPI Small Grants, half of the recipients were female. In terms of the content of the activities, key informants see LDPI as having covered this well and brought significant attention to gender and social differentiation (e.g. youth), which was lacking in the topic of land grabs before, and to consequently have triggered some more work on it. But, overall the response from other researchers in taking up the issue has not been strong and it therefore requires ongoing attention by LDPI / FAC and others. The forthcoming LDPI related Land Deal Politics conference on Agricultural Investment, Gender and Land in Africa is evidence that this is being taken seriously by FAC.

Sustainability of LDPI

Depending on future fundraising successes, LDPI is seen to have operated in a way that places it in a good position to continue sustainably. This is primarily because it is demand-driven, loosely organised, based on a great spirit of volunteerism, and with a low input-high impact principle. It is seen as having a greater relative impact compared to research activities funded at similar levels. Many of these qualities are put down to LDPI having an unusual structure in being led by individuals who are not formally representing their institutions, which gives them greater flexibility and room to innovate. It is also because LDPI is an initiative rather than a more formal programme or centre, which gives it a more open boundary for other actors wishing to form alliances. This model, with flexibility, low overheads and self-funded northern participants allowing cross-subsidy of southern participants should be attractive to future funders of the core budget that enables FAC to co-convene initiatives such as LDPI. Without this core funding for FAC, LDPI financial sustainability would be in doubt.

Contribution, quality and relevance of FAC activities related to LDPI

LDPI is seen as having made very large impact academically and socially. LDPI activities are valued and respected because of its solid research and work to challenge ideas and assumptions. It has brought higher visibility and international discussion to bear on issues, for instance to how land deals affect Africa and to critical understanding of the problems of macro-estimation. Many superlatives are used including *brilliant*, *key*, *strong*, *central*, *impressive* and *truly effective* to describe LDPI's contribution, quality and relevance. FAC's long history and wider networks in research in Africa are cited as key to LDPI's success.

Effectiveness and relevance of FAC engagement with and inclusion of the perspectives of southern researchers

Key informants see LDPI as having done an excellent job in raising the voices of southern researchers and activists through its conferences. Their contribution is described by key informants as having been strong. LDPI research is seen as having included their perspectives which helped to ground LDPI research and defined its relevant and progressive character. One comment though reflected that lead presenters (rather than the participants or discussants) at the conference sessions they attended were mainly from OECD countries.

Extent LDPI built sustainable research capacity in Africa to engage in policy processes

The LDPI Small Grants were awarded to 41 individuals, the majority of whom were researchers from Africa. Over and above completing the research projects they were funded to undertake, 75% went on to publish this research as LDPI working papers (a very respectable transfer rate for young researchers) and 40% also went on to publish related journal articles and book chapters. The

Personal Professional Capacity Survey conducted for this evaluation included LDPI Small Grant recipients. An analysis of their responses indicates that:

- A majority of respondents commented that the small grants process has or will develop their capabilities as researchers to: identify policy relevant research gaps; undertake policy relevant research; critically engage with research evidence; communicate research findings; indentify and engage with policy stakeholders; present / facilitate / network; and recognise and consider political economy, gender and social inclusion issues.
- An overwhelming majority of respondents said that the Small Grants process had helped them to access career opportunities they might otherwise not have had
- An overwhelming majority of respondents said that the Small Grants process had strengthened their connections with other researchers in the field
- The mentoring provided helped to guide researchers to relevant literature, individuals and networks and to get their work published, but they would also have welcomed opportunities to network with other grantees during and after the research process

Documents consulted

- FAC Mid-Term Review 2011
- Semi Annual Report to DFID 2012
- FAC Impact Report to DFID 2013
- FAC Outputs Database
- FAC Website
- PLAAS Website
- Polson Institute Website
- LDPI website hosted by ISS
- Journal of Peasant Studies Website
- Development and Change Journal Website

People consulted

[This case study has had names removed to preserve participant confidentiality]

Impact Story 2 – Institutionalisation of Kenya Arid and Semi-arid Lands (ASAL) Policy Gains

Author: Martin Whiteside

Executive summary

The opportunity was presented by the creation of a Ministry of Northern Kenya and other Arid Lands (MNKAL) 2008-13, led by a Minister committed to using international best practice to promote development and resilience in pastoral areas. Improved policy was developed and serious attempts made to institutionalise the new thinking and practice into the post Ministry period. A wide range of actors and events were involved in this complex and dynamic process. This analysis identifies the role FAC played in this process, makes estimates of FAC's contribution to the different components of policy change and institutionalisation. Key lessons are that policy change is not sufficient, institutionalising the change in national plans, budgets and institutional mandates are also required. Another lesson was that evidence can be used to reinforce political policy choices and to persuade cabinet colleagues to come on-board.

Description of the impact event

This impact event analysis looks at the contribution of FAC to a significant process of longer term policy development culminating in a shorter-term opportunity for policy adoption and attempts at longer-term institutionalisation for policy implementation.

Sources of information and methodology

This analysis has been developed through interviews with a selection of actors involved in different ways with the process alongside a review of a range of mainly FAC originated documentation. An adapted version of the Rapid Outcome Assessment (ROA) was used to structure discussions and analyse the information presented. There is a conscious bias towards influences linked to FAC, because this was the contribution the analysis set-out to try and understand. It is recognised that this is a partial analysis of what was a complex and multi-dimensional process. This has been documented by two of the key participants in the process[108] with support from FAC.

The 'impact event' focussing on the ASAL policy was selected by the evaluation team from a list provided by FAC[109]. However, it became clear early in the analysis that the ASAL policy was only one part of a larger process of policy change and that FAC had a role in various parts (including recording and sharing the learning from the process), The scope of the case study was therefore broadened to reflect the reality on the ground.

Starting policy environment and background

The MNKAL was born out of the political compromise necessitated by the post-election violence in 2007/08. However the policy context was founded on decades of Northern Kenya and other arid lands feeling neglected and marginalised. There was a consensus in 2007 election manifestos that Northern Kenya needed special attention but it was recognised that the Ministry would have a limited life during the coalition government and limited funds to invest. The focus therefore was about changing policies and practices in relation to the Northern (arid and semi-arid lands) and institutionalising these changes in longer term plans, policies and institutions.

The policy context pre-2008 was founded on a negative narrative emerging from colonial and post-colonial divisions of Kenya into high potential and low potential areas. Investment was to be concentrated on high potential areas which would develop and be able to support the welfare of those in the low potential areas. The 'low potential' northern areas were not priorities for investment in development. Nor were the pastoralist livelihood models considered productive or capable of dynamic development.

[108] Representatives of the MNKAL
[109] See evaluation inception report for description of the process.

Meanwhile the emerging academic narrative was very different, recognising the development potential of arid and semi-arid areas, the high value of the meat and milk products generated from pastoralist production methods and the ability of these systems to adapt to changing market and climatic conditions. Researchers with strong links to FAC contributed to this changed academic narrative, and in particular some work on the economic contribution of livestock products to GDP despite lack of external investment or political support was persuasive.

The 2012 the Vision 2030 Development Strategy for Northern Kenya and other arid lands and the ASAL Strategy marked a complete change in tone of Kenyan Government policy documents with a focus on investment, development, realising potential and transformation. How did this happen?

Timeline

2008 Ministry of Northern Areas created with a Minister from a pastoralist background, with international development NGO experience and including an experienced Adviser.

2009 Ministry working on Vision 2030 and ASAL policy with technical support from IIED and RECONCILE. Height of 2008-2011 drought.

2010 University of the Bush organised by Pastoralists Consultants International (PCI) and FAC, attended by pastoralist elders, Assistant Minister for NKAL, DFID representative and others. FAC members brief Minister on research outputs of FAC. University of Bush approach with forums of pastoralist elders used for consultations by Ministry on the new constitution. ASAL Policy submitted to cabinet office.

2011 Assistant Minister of Northern Areas attends 'Future of Pastoralism' conference organised by FAC in Addis Ababa. Ministry Education Director presents plans for nomad education at same conference. A FAC member holds a meeting with Pastoralist Parliamentary Group. National Drought Management Agency (NDMA) gazetted under the Ministry. FAC invited by Kenyan pastoralist organisations to present at annual 'Pastoralist Week'. Regional IGAD + Tanzania Heads of State Summit in response to drought adopt discourse of resilience, risk reduction and contingency funds.

2012 March - Vision 2030 Strategy for Northern Kenya and other Arid Lands adopted followed by the ASAL Policy in December. Education Act giving nomadic children rights to education. Informal ASAL donor group established under EU leadership. Publication of book 'Pastoralism and Development in Africa' with major contributions from FAC researchers and forward by Minister.

2013 Elections and new government. Ministry of Northern Areas disbanded with responsibilities, including the NDMA passing to the Ministry of Planning and Devolution. NDMA supports PPG and ex-Minister to brief newly elected Governors, Senators and Speakers of County Assemblies on policy framework for ASALs. FAC supports Ex-minister and his Adviser to write-up the policy development experience of the Ministry as part of a handover record to the new government. The new government endorses the Ending of Drought Emergencies (EDE), which operationalises part of the ASAL Strategy 'as a foundation for National Transformation in 2nd Medium Term Plan 2013-17.

2014 NDMA Strategic Plan operationalises part of ASAL Policy. FAC is in the process of producing two co-branded policy analyses with NDMA. Pastoralism Parliamentary Group seeks DFID support through IIED to support the Pastoralism Leaders Forums. Provisions in ASAL Policy or Cabinet Committee on ASAL and Drought Contingency Fund not yet operationalised. Ministry of Education Conference on Nomadic Education. FAC invited to support East African Community's programme on pastoralism.

Continuity and institutionalisation

An important part of this story is to see how policy change (adoption of the ASAL Policy) needs to link into investment strategies (Vision 2030), into national Vision 2030 development plans (2013-17 Medium-term Plan) and into legislation (e.g. 2012 Education Act) to be implemented by other Line

Ministries. For instance the ASALs for the first time had a separate chapter in the 2013-17 plan and for the first time there is recognition that better management of the risks in the ASALs is a prerequisite for national development.

The institutional framework for implementation (e.g. NDMA) is vital, but it is important to note that the ASAL Cabinet Committee and Contingency Fund have not yet been operationalised by the new government, despite being adopted by policy. Empowering the PPG to continue to advocate for implementation, coordinated donor support for the Ending Drought Emergencies Strategy and funding for the NDMA are also important elements. The devolution of responsibility and increasing budgets at county level provide an opportunity for locally adapted policy interpretation and implementation, but often with limited capacity in effective use of evidence or knowledge of best practice.

An important realisation by the departing Minister was the danger of discontinuity with Government change. The writing of a handover briefing, documenting the process, was an unusual part of the process that has been made available to wider audiences through the involvement of FAC. It was distributed to all ASAL Governors, MPs and Counties, a number of politicians commented on it being interesting and a key adviser to the President "*found it useful"*.

The continuing impact of this six year period of policy change will need to be judged over a longer period. Opportunities remain for continued progress towards implementation. A major opportunity and risk will be then development of the Lamu South Sudan corridor which will bring long awaited investment in transport infrastructure, driven by wider geo-political forces, but with attendant risks on who will benefit and who will be marginalised.

Contribution of FAC

While it is relatively easy to identify the outputs of FAC that acted as inputs to the process described above, it is much more difficult to assess against a hypothetical counterfactual (what would have happened without FAC) the actual contribution of FAC. Clearly the over-riding drivers to the process were the opportunities provided by the new Ministries and the commitment and vision of those involved in it. The wider realisation that 'something had to be done' about the Northern Areas, amplified by the drought was built upon years of experience, policy analysis and concern. The participants involved have identified the following as contributors to the process:

- The emerging 'best practice' for pastoralist development, contributed to in a small way by FAC researchers, is considered important.
- Key figures in the Ministry noted the usefulness of what was presented in the University of the Bush and the 2011 Pastoralism Conference. This was described as "*creating the climate to enable them to make the case for change*". Although the key figures in ASAL policy development, coming from pastoralist backgrounds, instinctively understood much of what the academics were articulating, it was important for them to know what they were proposing was in-line with 'best practice' and helped them defend it to cabinet and other colleagues. SOS Sahel, IIED and RECONCILE provided a more direct technical assistance role.
- The Working Group on Pastoralism (convened by FAO), ASAL stakeholders forum and a number of NGOs providing technical input and advocacy on pastoralist issues are reported to have made use of FAC materials.
- FAC research encouraged the setting-up of the Livestock Marketing Board, which is in the ASAL Policy but has not yet been gazetted.
- Participation by the Ministry of Northern Areas Director of Education in the Pastoralism Conference seems to have contributed to continuing championing of nomadic education.
- Evidence on the real financial contribution of pastoralist livelihoods to the national economy, which FAC contributed to, helped reinforce the arguments, but the extent of this is difficult to assess (See press cutting in the main evaluation report).

- FAC briefing of PPG members increased understanding of some evidence, but the outcome of this is unclear.
- FAC played a significant role in supporting the documenting of the policy development process, making it available to wider audiences and giving it additional credibility. The FAC grant enabled the writers to spend time on reflection. Although the handover notes would have been likely to have been produced even without FAC, the quality and dissemination would have been much reduced.

Value for Money

The FAC Pastoralism theme in Kenya cost about £125,000 over the period 2010-13, there were also smaller FAC inputs from the land theme (around £25,000) and FAC central communications and other support. This equate to an approximate cost of approximately £200,000.

About 36% of Kenya's 41 million population reside in ASAL areas with around 10% of Kenya's population engaged in nomadic or semi-nomadic pastoralism. Therefore around 15 million people were affected by the policy changes, with around 4 million more directly affected. Moreover these tend to be the poorer and more vulnerable sector of the population. ASAL areas contribute an estimated 40% to agricultural GDP and ASAL livestock 12% of national GDP[110] – making the ASAL livestock generated GDP approximately 2.7 billion pounds.

Therefore spending £200,000 to influence, even in a small way, a major change in policy affecting 15 million people and 2.7 billion pounds of GDP seems likely to represent good value for money.

Lessons learnt about policy influencing and the FAC Theory of Change

- The strongest learning is the need to go beyond 'policy adoption' to getting the improved policies institutionalised in legal instruments, investment strategies, development plans and institutional delivery mechanisms (i.e. the NDMA and Counties). This is not explicit in the FAC ToC – although it may be implicit in the 'and practices' phrase in the highest level impact box. Neither is it always explicit in the Political Economy analysis by FAC.
- Personalities and relationships matter! Both the Minister and his key adviser were avid users of evidence and keen that their policies should be compatible with current best practice. They were also keen to report and be challenged on their progress in academic fora and to record their experience. FAC had the flexibility to respond to these unique individuals and unusual opportunities.
- Statistics and disaggregation matter! Recognising the value of milk and meat from livestock (which had previously been seriously under-valued in national statistics) was important in concentrating decision-makers minds on the economic importance of pastoralism and ASAL areas – and FAC contributed to this. Lack of disaggregation of many other statistics into ASAL areas hampered effective national planning. Giving similar budgets (e.g. for transport) to small 'high potential' counties and vast ASAL counties perpetuated inequalities in investment.
- Preparatory work matters! The relatively rapid development of the ASAL Policy was possible because of the decades of work by international NGOs, donor working groups and academics. When the opportunity came, people knew what needed to be done. Having a Minister and other MPs from pastoralist backgrounds and direct pastoralism experience was also critical.
- The 'University of the Bush', facilitated by the Pastoralists Consultants International (PCI), recognised that traditional conference settings with limited time and translation, are often not appropriate to facilitating involvement by community members. It is not clear that the lessons from this have been particularly strongly internalised by other parts of FAC. For example, in Malawi, despite having heard of the University of the Bush, there was little evidence of more innovative approaches to inclusive involvement and different approaches to communication.

[110] See the Behnke/Muthami study of 2011

Documents consulted

- FAC Working Paper 22 (2011) - *The Long Conversation: Customary Approaches to Peace Management in Southern Ethiopia and Northern Kenya*. Patta Scott-Villiers, Hussein Boru Ungiti, Diba Kiyana, Molu Kullu, Tumal Orto, Eugenie Reidy and Adan Sora
- FAC Working Paper 68 (2013) - *Creating Policy Space for Pastoralism in Kenya*. Mohamed Elmi and Izzy Birch July 2013
- Pastoralism and Development in Africa. Routledge 2013 – Ch 8 – *Pastoralists innovative responses to new camel export markets,* Hussein Adullahi Mahmoud. Ch 13 – *Land deals and changing political economy of livelihoods in the Tana Delta, Kenya*; Abdirizak Arale Nunow. Ch 14 *Squeezed from all sides – changing resource tenure and pastoralist innovation in Laikipia Plateau, Kenya*; John Letai and Jeremy Lind. Ch 19 *Social Protection for Pastoralists*; Stephen Devereux and Karen Tibbo.
- East Africa Community 2014 – Draft Pastoralism and Drylands Development Action Plan

People consulted

[This case study has had names removed to preserve participant confidentiality]

Impact Story 3 – FAC providing evidence for civil society led advocacy in Malawi

Author: Martin Whiteside

Executive summary

This study looks at the impact of FAC generated evidence, policy framing and analytical input into three civil society organisations (CSOs) – the Civil Society Agricultural Network (CISANET), the Farmers Union of Malawi (FUM) and the National Association of Smallholder Farmers of Malawi (NASFAM) as well as the Parliamentary Committee on Agriculture and Natural Resources (PCANR). Working in partnership with these organisations enabled FAC members to concentrate on their comparative advantage of research and analysis, with the CSOs able to use their much larger advocacy capacity and political weight to use evidence and analysis from FAC for policy influencing.

This approach is in line with the FAC TOC engagement strategy of *'encouraging others to be catalysts in policy debates and alliances'*, but goes further than encouragement in the provision of evidence and analysis. The importance of 'moments', 'pre-moment capacity' and the building of advocacy relationships are explored. Although assessing attribution in this multi-actor process is difficult, the approach was deemed effective and significant policy influencing opportunities are underway, including the National Agricultural Policy.

Description of the impact event

This 'impact event' looks at the outcomes from an ongoing lobbying process by three Civil Society Organisations (CSOs) using evidence from FAC focussing on three issues – FISP, The Customary Land Bill and the National Agricultural Policy.

Sources of information and methodology

This analysis has been developed through interviews with a selection of actors involved in different ways with the process including two MPs on the PCANR and representatives from all three of the organisations engaged in the advocacy, the various FAC members involved in the events and evidence production alongside a review of a range of documentation.

An adapted version of the Rapid Outcome Assessment (ROA) was used to structure discussions and analyse the information presented. There is a conscious bias towards influences linked to FAC. This is because this is what the analysis set out to try and understand. However it is recognised that this is a partial analysis of what is a complex and multi-dimensional process.

The original 'impact event' focussing on FAC contributions to the 'Agriculture Policy Dialogue', a forum convened by the Civil Society Agriculture Network (CISANET) in 2012 was selected by the evaluation team from a list provided by FAC[111]. However, it was decided to look beyond this to three policy outcomes from CISANET and partner policy lobbying built on FAC evidence provided during this period as there is some important learning points from the comparison.

Starting policy context and background

The Parliamentary Committee on Agriculture and Natural Resources (PCANR) is a cross-party group of MPs who take evidence from a variety of sources which they report to parliament, use to provide feedback to the Ministry of Agriculture and Food Security (MoAFS) and use to inform debate in Parliament. Three CSOs influence the MoAFS directly through Policy Dialogue events and stakeholder Working Groups. The CSOs involved are:

- **The Civil Society Agricultural Network** (CISANET) comprises 130 international and national NGOs, farmer organisations (including FUM and NASFAM) and individuals with an advocacy mandate. CISANET organises a number of policy dialogue events with members and invited guests and has a small secretariat to undertake research, organise events and attend various consultative meetings with Government and donors, including the PCANR;

[111] See evaluation inception report for description of the process.

- **The Farmers Union of Malawi** (FUM). With a membership of 700.000 smallholders, emerging farmers and large scale farmers, FUM has significant influence with the Government. The ex-president of the FUM is now an MP and chair of PCANR. They have a seat at many policy formulation and consultation processes, including with private sector organisations represented by the MCCCI.
- **The National Association of Smallholder Farmers of Malawi** (NASFAM) has a membership of around 130,000 business orientated smallholders, organised in local associations. NASFAM has a seat at most agricultural policy formulating processes of Government.

The PCANR takes evidence from all three organisations on a relatively regular basis (at least once per year). CISANET organise at least yearly 'Policy Dialogue' events at which FAC provides speakers, the MoAFS sends a representative and a report is sent to the Ministry. FUM and NASFAM also participate.

FAC has a primary partnership with CISANET, providing briefing and analysis. CISANET and FAC have jointly hosted evidence communication events. FAC evidence is also used by FUM and NASFAM.

The three influencing topics considered in this case study are:

1. **The Farm Inputs Subsidy Programme (FISP),** which is one of the highest profile government policies in the country, comprising at least 60% of the Ministry of Agriculture budget, featured in the election pledges of all the political parties and is strongly influenced by the President. FISP is strongly supported by the rural majority but tends to be opposed by the private sector. It has been a contested area for the donor community. FAC has been involved in supporting a series of evaluations since 2006/07, commissioned by DFID and implemented by SOAS/ Wadonda Consultants. Both from the evaluation data and additional political economy analysis, FAC has produced and/or helped communicate a range of publications. The influence of the direct evidence from these evaluations on donors and MoAFS is the subject of a separate 'Impact Event' case study. The current case study looks at the influence leveraged by FAC through the three CSOs.

   FAC objective – opening up a debate and bringing a political economy analysis to future plans for FISP.

2. **Customary Land Bill** - Security of access to customary land is a highly sensitive issue in Malawi, with women in the traditional matrilineal system having significant rights and the chiefs considerable power of patronage – land is the foundation of their powerbase. The concern is that untitled customary land may be more at risk of *land grabbing* by powerful interests, particularly in areas with irrigation potential, for instance under the Governments Green Belt Initiative[112]. The Customary Land Bill envisages significant extension of titling, potentially in the name of the household which may give male household heads more influence (especially in cases of inheritance or marital breakdown). Chiefs would also see their influence over land removed in favour of Land Committees.

   FAC objective – to provide an analysis on land grabbing by foreign interests.[113] The tabling of the Land Act provided an unplanned moment and opportunity to inject a political economy analysis into an issue that had not been a particular priority for FAC (and neither for CISANET, FUM and NASFAM).

3. **National Agricultural Policy** is a contested issue in Malawi, in particularly in relation to the varying support needs of large numbers of smallholders, many cultivating less than a hectare, as set against the policy needs of the larger 'commercial' farming sector. As part of the requirements for Malawi to participate in the benefits from the G8 New Alliance for Food Security in Africa

[112] FAC Policy Brief 55 2012 – The Green Belt Initiative and Land Grabs in Malawi
[113] FAC did this in the context of the Green Belt Initiative (large scale irrigation)

Programme, Malawi was required to develop an Agricultural Policy by June 2014. Due to the elections this has been delayed to March 2015.

FAC objective – use political economy analysis to encourage the agricultural policy to focus realistically on how to achieve desired outcomes.

Timeline

Pre-2009	Pilot World Bank supported resettlement project (from high density to low density areas encourages titling and legal land sales (later evaluated by FAC linked researcher, funded by University of Manchester). Reviewed by FAC linked researcher funded by 'Institutions for Pro-Poor Growth (IPPG)' programme[114]
2009	FISP Researchers Review Meeting – meeting of all researchers that have done work on FISP resulted in agreement to a joint policy brief for unified lobbying. Beginning of collaboration FAC/ CISANET. Two writing meetings, one funded by FAC. Collaborators CISANET/ FUM/ NASFAM/ FAC/ Bunda College researchers.
2010	Joint CISANET/ FAC Policy Paper on FISP
2011	CISANET and NASFAM Meetings with PCANR - both took FISP Policy Paper to PCANR. Draft Agricultural Policy by MoAFS criticised as not coming out of stakeholder consultation and turned down by cabinet.
2012	Policy Dialogue on future of FISP – Organised by CISANET – senior FAC researchers made presentations on their research and wrote a briefing paper as a resource for CISANET advocacy work.[115] Attended by personnel from Ministries, donors and civil society. Workshop report sent to Ministry of Agriculture and donors.
2012	CISANET/ FAC Green Revolution Policy Dialogue, funded by FAC. FAC researchers made presentations on commercialisation, FISP, graduation, gender and legal aspects of agricultural trade. Publication of Policy Briefs on Factors Influencing Smallholder Commercial Farming, The Green Belt Initiative and Land Grabbing, Seeds and Subsidies: The Political Economy of Input Support Programmes. Customary Land Bill introduced to parliament (there were concerns on its weak controls on land purchasers by foreigners) is defeated and sent for further consultation.
2013	Land Bill re-introduced with stronger controls on foreign interests buying land. FAC members brief PCANR on risks in the Customary Land Bill – but it is passed in parliament on 2nd reading (but later the President refuses to sign it due to opposition from traditional authorities). National Land Network, CARE, Oxfam and Action Aid also did advocacy on the Land Bill. Political Economy of Agricultural Policy Conference organised by CISANET with presentations by FAC researchers with the aim of influencing the emerging Agricultural Policy. Conference report widely circulated. IFPRI provide technical support to Ministry in drafting National Agriculture Strategy. CISANET sit on several technical working groups.
2014	Elections. National Agricultural Policy still being worked on and delayed to March 2015. Land Bill still unsigned by president. Continuing improvements/ modifications to FISP, but little indication of discourse on the integration of FISP into overall agricultural policy and trying to use it to help drive agricultural transformation.

[114] Blessings Chinsinga 2008 - Exploring the Politics of Land Reforms in Malawi: A Case Study of the Community Based Rural Land Development Programme (CBRLDP)

[115] The Future of the Farm Input Subsidy Programme (FISP): A Political Economy Investigation. A Discussion Paper Prepared for the Civil Society Network on Agriculture (CISANET)

Key actors (Boundary Partners)

CISANET are accustomed to working with evidence and using it in their policy influencing role. They place the evidence and analysis provided by FAC in high regard. They keep FAC materials in their library and distribute to members – but they would like a more regular supply. This has been a productive relationship that they would like to continue. They consider FAC evidence and analysis has improved their policy influencing role. However they are also acutely aware of the political interests driving some key policies, particularly FISP, and the limitations of their power to influence the bigger issues with FISP, but believe they have contributed to change in some of the less contentious implementation issues. FAC has worked with CISANET to explore the wider political economy of FISP, opening up the debate to alternatives to the current orientation of FISP and making CSOs aware of the distortion of the agricultural sector it creates.

NASFAM – have a research and advocacy mandate and capacity. They make considerable use of FAC materials and consult the website regularly. They also collect information from their members. FAC materials enable them to include experience from elsewhere in the region, alongside the national evidence from their members. They are also active members of CISANET.

FUM – the CEO in particular is well aware of and an avid user and reader of FAC materials – appreciating the quality of the analysis and the regional perspective it brings. They have a strong policy influencing role and feel size matters – "*if FAC tries to influence Government, they will ask 'who is FAC? – but they listen to FUM because of the 700,000 membership".* FUM feel they have more influence in 'closed door' consultation processes and will only 'run to the press' if they feel they are not being listened to. They have used FAC evidence to back-up their arguments and would like more influence on what FAC researches – so that appropriate evidence is produced for their needs. They feel some of the traditional conference style academic presentations are not very effective – involving the same people with the same messages.

PCANR appreciate the information and views provided to them by CISANET and FAC. PCANR feel they have limited influence on FISP, as it is largely influenced by the President, rather than parliament. PCANR members feel that some of the more complex analyses (as presented by FAC evaluators at MoA evaluation report back workshops) are less helpful to many of their members than more direct examples 'of how this affects ordinary farmers'. They particularly appreciated the guidance on concerns in the Customary Land Bill given to them by FAC researchers (how it affects women's rights, how it affects the role of chiefs, risks it opens up to foreign investors, how it affects 'idle land' and inheritance rights). PCANR members expressed a desire for access to paper copies of Briefing Papers.

MoAFS – there is some openness to dialogue and evidence, except for the most political issues (FISP, Land Law). People tend to know each other, many in the MoAFS were students/class-mates of FAC researchers. There is a strong preference in MoAFS for advocacy organisations to participate with them in policy dialogue rather than 'running to the press'. MoAFS officials were remarkably unaware of FAC publications and expressed a desire for more access to paper copies. Encouraging them to be on a FAC mailing list and sending them electronic copies of key FAC documents would be worthwhile.

Outcomes

- Between 2009-12 the political environment was not easy for CSO advocacy work. However, despite this a number of key informants noted that FAC managed to work quite creatively with its partners during this period;
- FAC research and analysis helped raise concerns about the Land Bill late in the process among CISANET and PCANR, but Bill was passed by Parliament nevertheless;
- FAC raised debate in Civil Society about wider issues relating to FISP, but fundamental reframing of opportunities to use FISP for agrarian transformation and growth has not occurred. New opportunities are present in current agricultural policy dialogues;

- CISANET (and probably FUM/ NASFAM) potentially influencing National Agricultural Policy through participation in working groups – possibly the most direct FAC influenced outcome.

Contribution of FAC

Land Bill

FAC started its Land theme in 2010 with a focus on 'land grabbing' by foreign interests. A working paper and Policy Brief was produced on land grabbing associated with the Green Belt initiative, with sugar estate expansion as a case study.

FAC came rather late to a probably more significant threat in the revision of Malawi Land Law which re-defined the three categories of land (Freehold, Customary and State) into two (Freehold and State). However, a FAC Researcher had done a critical study, not funded by FAC, of a pilot resettlement project which was politically sensitive and provided evidence on risks from the Land Bill – that would provide the legal framework for land grabbing, both from foreign investors and the Malawian elite. FAC provided some belated briefing, based on evidence and analysis, to civil society and the PCANR. The Bill was revised to tighten protection against foreign land grabbers, although FAC does not seem to have had a significant influence on this. The legal framework for the arguably greater threat from *national grabbing* remained in the Bill, along with potential weakening of women's land rights. However, currently (August 2014) there is an impasse and the policy processes leading to the bill could be reopened. This may create an opportunity for FAC's evidence to inform the Bill.

This is an example of FAC seizing the moment, and contributing evidence to the debate, even if rather late and with little policy change impact to date.

Broadening the debate about the future of FISP

FAC contributed to CISANET/ FUM/ NASFAM advocacy on the implementation of FISP that in turn contributed to improvements in delivery.

On the wider policy front, FAC contributed a Policy Briefing on the political economy of CAADP that tried to broaden the debate beyond FISP in 2012. FAC researchers also made multiple presentations at the CISANET Policy Dialogue on the future of FISP in 2012. Although shortcomings in current practice in relation to seeds, fertiliser and the CAADP process have been analysed, a positive vision of future alternatives is less evident (although some evidence for these may be available in the FISP evaluations).

A good example of FAC broadening the debate on FISP is in an article quoting a senior FAC researcher in The Nation.[116]

Improving the development of the Malawi Agricultural Policy

FAC has provided significant input to the analysis and critique of many aspects of current agricultural policy in Malawi. The drafting of a formal written 'Agricultural Policy Document' as one of the requirements of the G8 New Alliance funding has created a 'moment' for this analysis to be fed into the document. Prior engagement with CISANET, FUM and NASFAM provided the partnerships and the existing analysis required. These partners are now feeding this through formal working groups into the policy development process. It is still too early to judge the outcome from this engagement and the possible impact from any policy and/or practice change achieved.

Value for Money

The cost of research and providing evidence to CISANET/ FUM/ NASFAM/ PCANR was around £37,000 for the Land theme, £66,000 for the Policy Processes theme and £41,000 on coordination. It is probably fair to allocate 100% of the Land theme expenditure, 50% of Policy Processes expenditure and 25% of the coordination expenditure to the processes described in this study. This comes to around £80,000. The outcome from this is:

- Awareness raised but no change to the Customary Land Bill;

[116] Fisp: Time to change strategy. The Nation. June 25 2013.

- Contribution to improved delivery of FISP, a programme costing £100 million per year;
- Better informed debate on alternatives to FISP but no indications of policy outcome yet;
- Significant input through CISANET/ FUM/ NASFAM to the emerging Agricultural Policy, which will guide expenditure on Malawi's agricultural sector that contributes over 1/3 of GDP and 90% of export earnings. It is too early to judge the degree of influence achieved.

Overall it is too early to judge value for money in this case, but the actual expenditure is extremely small compared to the processes being influenced, so any change achieved is likely to represent positive value for money.

The process of supplying evidence to established influential advocacy organisations is likely to result in optimum efficiency, with each organisation using its own comparative advantage and thus maximising value for money.

Lessons learnt about policy influencing and the FAC Theory of Change

- Providing evidence to advocacy partners seems to be an effective way for FAC to add value. In the TOC this reflects two parts of FAC's engagement in policy processes - *'identification and creation of fora for dialogue and debate'* and *'encouraging others to be catalysts in policy debates and alliances'*.
- The examples in this case study show how different partners require evidence in different forms. The PCANR required examples on how potential policies might affect individual farmers and women while CSO partners were comfortable with the political economy analysis critiquing existing policies.
- The opportunities provided by 'moments' as identified in the TOC are very important. The moment provided by the Customary Land Bill was recognised late, and responded to. The 'moment' provided by the G8 New Alliance's need for a written Agricultural Policy has provided an opportunity for FAC's partners to input to policy development.
- This case study exemplifies 'pre-moment' capacity. Partnership relationships and previous research and analysis have been extremely important in being able to feed into the agricultural policy development process. In contrast, FAC's previous work on land, mainly focussed on foreign 'land grabbing', had not really laid the groundwork for a effective response to the Customary Land Act. However some previous research, done outside of FAC, did prove helpful.
- This case study raises the issue of FAC's traditional academic style of presentation of research results (i.e. same people, saying similar things in the same hotel – with never enough time for ordinary participants to really agree the policy implications). This is an important challenge. FUM feel that *closed door* round tables with Government are more effective in policy influencing but they still need to be backed by evidence. Early engagement with 'policy drafters' was identified as an opportunity.
- The policy influencing agenda that FAC was contributing evidence to was not clearly defined or explicit. There was a need for a political economy analysis of FAC's opportunity to add value and contribute to policy influencing.
- Key people (particularly in MoAFS) were unaware of key FAC documents. More proactive communication of both paper and electronic copies would have been valuable.

Documents consulted

- FAC WP 92 (2014) - Beyond the Farm Input Subsidy Programme (FISP)? The Political Economy of CAADP Processes in Malawi
- FAC Policy Brief 61 (2013) - Targeting in the Farm Input Subsidy Programme in Malawi, 2006/07 – 2011/12
- FAC Policy Brief 59 (2013) - Thinking about 'Graduation' from the Farm Input Subsidy Programme in Malawi

- FAC Policy Brief 57 (2013) - Fertiliser Use on Women's Plots: An Intra-Household View of the Malawi Farm Input Subsidy Programme
- Policy Brief 58 (2013) - Private Sector Participation in the Farm Input Subsidy Programme in Malawi
- CISANET 2012 - Agricultural Policy Dialogue on the Future of the Farm Input Subsidy Programme
- CISANET 2012 – Green Revolution Policy Dialogue
- FAC WP 39 (2012) - The Political Economy of Agricultural Policy Processes in Malawi: A Case Study of FISP
- FAC WP 37 (2012) - From Subsistence to Smallholder Commercial Farming in Malawi: A Case of NASFAM Commercialisation
- FAC Policy Brief 51 2012 - Factors Influencing Smallholder Commercial Farming in Malawi: A Case of NASFAM Commercialisation
- FAC Policy Brief 2012 – The Green Belt Initiative and Land Grabbing in Malawi
- FAC Policy Brief 46 2012 - Seeds and Subsidies: The Political Economy of Input Support Programmes in Malawi

People consulted

[This case study has had names removed to preserve participant confidentiality]

Impact Story 4 – Evidence influences implementation and maintained donor support for Malawi Farm Input Subsidy Programme (FISP)

Author: Martin Whiteside

Executive summary

The FISP is one of the highest profile government policies in Malawi. While FISP is supported by the rural majority it is a contested area for the private sector and donor community. FAC and FAC members have contributed to a series bi-annual evaluations, on-going monitoring and academic analysis and comment on the programme. This impact story explores the effect of these outputs on the policies of key stakeholders and the implementation of the programme. The principle conclusion is that evidence of the effectiveness of FISP has encouraged those donors that already supported FISP to continue funding and muted the criticism of those that were ideologically opposed. Real-time monitoring of implementation had resulted in some improvements to delivery practice.

Description of the impact event

This 'impact event' tracks a process leading to changes in the implementation of FISP from 2006/07 to the present and the maintenance of support from key donors over the same period. Both these outcomes were influenced by evidence and communication to which FAC contributed.

Sources of information and methodology

The original 'impact event', focussing on the NAO report and the presentation to the parliamentary select committee, was selected by the evaluation team from a list provided by FAC[117]. However it became clear early in the analysis that this was a process with wider outcomes in terms of donor policy and implementation practice to which the NAO report and presentation to the Select Committee were indicators of. It was therefore decided to analyse the FAC influences on the overall process and use the NAO and Select Committee report as part of the evidence.

This analysis has been developed through interviews with a selection of actors involved in different ways with the process alongside a review of a range of documentation. An adapted version of the Rapid Outcome Assessment (ROA) was used to structure discussions and to analyse the information presented. There is a conscious bias towards influences linked to FAC. This is because this was what the analysis set-out to try and understand. However, it is recognised that this is a partial analysis of what was a complex and multi-dimensional process.

A challenge was that many of the key players in the donor community during this prolonged period had moved on and were not available to interview. However, a senior team member from DFID-Malawi, who has been with DFID since 2008 and was involved outside DFID before this, was able to provide some continuity. Also the FAC/ SOAS/ Wadonda researchers have been constant through the process and some of those involved in civil society organisations and the Ministry of Agriculture had been involved, albeit often in different roles, over the whole period.

Starting policy context and background

The Farm Inputs Subsidy Programme (FISP) is one of the highest profile government policies in Malawi. It comprises about 70% of the Ministry of Agriculture budget, is featured in the election pledges of all the political parties and has been strongly influenced by a succession of Presidents. FISP emerged as a result of 2001/02 drought and food crisis which caused enormous suffering and necessitated large scale and expensive food imports. FISP is supported by the rural majority but tends to be opposed by the private sector. It has been a contested area for the donor community.

Although the relatively favourable rains in recent years have also contributed, FISP is credited with eradicating the need for food imports and has become the 'Poster Boy' for successful support to

[117] See evaluation inception report for description of the process

smallholder farmers in Africa, The reality is more complex as analysed in a recent book by FAC members[118].

The main evidence source contributing to the change process of FISP has been a series of annual independent evaluations (being more and less comprehensive in alternate years) commissioned by the Donor Committee on Agriculture and Food Security (DCAFS), funded by DFID and implemented by SOAS/ Wadonda Consultants. The key evaluators are FAC members and FAC also financed some qualitative data collection (alongside the quantitative collection funded by DFID). Moreover FAC has supported the publication and communication of a number of policy documents and a number of workshops/conferences arising from the FISP evaluations.

The policy context at the start of the timeframe under analysis was unusual. FISP was a nationally owned food security programme driven from the highest levels of Government. The indications were that this programme would go ahead with or without donor support. Donors were left with the choice to engage or be left on the side-line. Throughout its life FISP has been primarily funded from Malawi Government funds, although limited transparency between budgets with donor support and sector wide approaches, makes the relative contributions of Government and donors unclear. In this context donor influence on key aspects of FISP was both highly sensitive and much more limited than is typical for development programmes.

Over the period donors were divided. Some supported the need to do something to address what was judged to be a chronic and disastrous agriculture and food security situation. Some were also persuaded by their previous experiences of the 'starter packs' and TIP (initiatives preceding FISP). Others however started from a position ideologically opposed to subsidy. The differences and similarities are analysed under the *boundary partners* section below.

Some donor agreement was reached over the wish to evaluate the implementation, outcome and impact of the programme and DFID took the lead within the DCAFS to commission a series of evaluations; SOAS/ Wadonda won the contract. Alongside this, DCAFS/ DFID also commissioned the Farmers Union of Malawi (FUM) to undertake 'sentinel monitoring' during the FISP implementation season and report back to the FISP coordination committee on a weekly basis.

Timeline

The timeline below summarises key FAC outputs in relation to the evidence generation and dissemination on FISP in the context of some other key events.

2006/7 1st FISP Evaluation. FAC supports qualitative research.

2008 SOAS/ Wadonda team wins 2nd tender for FISP evaluation. Food price hike affects Malawi less than many other countries.

2009 President re-elected on back of FISP promises. 2nd FISP Evaluation reports. FAC supports qualitative research.

NAO evaluation of DFID Malawi and presentation by DFID Malawi and Permanent Secretary cite evaluation evidence on FISP. FAC presentation in Kenya on lessons from Malawi, attended by Kenyan Minister of Agriculture – this did not appear to change Kenyan Policy.

Policy brief on fertiliser subsidy lessons for Kenya from Malawi. Report on the importance of seasonality in estimating poverty.

2010 Series of meetings leading to a joint CISANET/ FUM/ NASFAM/ FAC policy brief on "*Lessons from the Implementation of the Agricultural Input Subsidy Programme in Malawi*"

2011 3rd FISP Evaluation reports. FAC supports qualitative research. FAC Working Papers on '*Gender and Intra-Household Use of Fertilizers in FISP'*, '*Initial Conditions and Changes in Commercial Fertilizers under the FISP: Implications for Graduation' 'Conceptualising*

[118] Ephraim Chirwa & Andrew Dorward 2013 - Agricultural Input Subsidies, The Recent Malawi Experience. OUP.

Graduation from Agricultural Input Subsidies in Malawi' and *'Factors Influencing Access to Agricultural Input Subsidy Coupons in Malawi'*

2012 SOAS/ Wadonda team wins 3rd tender for FISP evaluation for 2012/13 to 2014/15. FAC presentations to the CISANET Conference on Future of the Farm Input Subsidy Programme. Submission to the GB International Development Committee on '*How can the UK best help improve opportunities for economic growth, job creation and meeting the Millennium Development Goal targets in Malawi?*'

2013 FISP Evaluation reports. Book on Agricultural Inputs Subsidies by Chirwa and Dorward (FAC funded distribution). FAC presentations at Political Economy of Agricultural Policy Conference organised by CISANET. FAC Working Papers '*Private Sector Participation in the FISP, 2006/07 - 2011/12*'.

2014 Elections and new Government. FAC Policy Briefs on '*Beyond FISP; the Political Economy of CAADP processes in Malawi*', '*Thinking about 'Graduation' from FISP*' and '*Targeting in FISP, 2006/07 – 2011/12*'. Presentations at LUANAR/ IFPRI FISP conference in July. August workshop with papers on SCTs and FISP and on Agriculture policy in Malawi, as well as 2013/14 FISP implementation and lessons

Key Actors (Boundary Partners)

Ministry of Agriculture

The Ministry was initially very open to the evaluation of the FISP in 2006/07. But from 2007 was highly suspicious of the evaluation and the evaluators, and they were granted very little access. The Ministry seemed to feel the evaluation was to collect evidence to criticise and withdraw donor support to FISP. Gradually the mood changed. The MoA started to recognise the evaluators as genuinely independent and producing helpful recommendations, even if they would have preferred the criticisms to be communicated in private. Changes in the Permanent Secretary in 2010 changed the dynamic. Following this access improved, the MoA started hosting public feedback sessions and more recommendations started to be used. The MoA were able to respond to some of the 'implementation' recommendations, but some of the politically set policies (like level of farmer contribution) have proved more intractable. Some in the MoA recognised that the evaluation was useful in keeping donors on-board. The MoA dislikes 'megaphone-diplomacy' by some civil society organisations, which it sees as having a propensity to '*run to the press'*, rather than getting engaged in consultative fora. MoA did however send a representative to CISANET policy dialogues[119].

Currently there is acceptance of the usefulness of the evaluation but the MoA would like the reports in advance of public presentation so that they can comment and prepare. The MoA would like more involvement in the process to contribute to capacity building, however they haven't made use of the opportunity to set some of the evaluation questions. They also haven't engaged much with some of the details of the results and are not active users of FAC Working Papers or Policy Briefs. More could be done to ensure the MoA gets paper copies, as these are preferred to electronic versions. Overall FAC 'value addition' to the evaluations hasn't impinged much on the MoA.

DFID

DFID has been a key player in the management of the FISP evaluations and a key user of the outputs, including the additional analysis and publication through FAC. Although the DFID Malawi office has been cautiously supportive of FISP, the evidence was considered very important in

[119] Response by MoA representative to CISANET Policy Dialogue of FISP 2012:
The representative of the Principal Secretary from Agriculture was accorded the chance to have the final word and clarify as well as make comments on the proceedings from the whole discussion. In a nutshell, he was pleased that the first presenter did acknowledge the successes of the FISP and agreed that it is a necessary which should not be discontinued. He also pointed out that Government is cognizant of the fact that there are still a number of possible areas for improvement. He indicated that this should be a result of concerted and collaborative efforts from all players in the agriculture and food security sector.

persuading the organisation more widely. DFID Malawi Advisers noted that FISP evaluation evidence was important to the Audit Office Evaluation and the presentation to the Development Select Committee in 2009. FISP evaluation evidence was also widely used in the Business Case for the Malawi Agriculture Programme 2011-2015. Despite the continued positive evaluations of FISP, DFID is considering investing in alternative agricultural programmes, such as irrigation and conservation agriculture, in its next four year plan. These programmes are considered important in building resilience.

Norway, IrishAid, and EU

Like DFID, these donors have been cautious supporters of FISP and the evaluation process and evidence it has generated has been important in enabling them to continue their support.

World Bank

The World Bank was sceptical of FISP at the start. While the local office became more supportive after the 1st evaluation they had difficulty in persuading their HQ. They have lead on trying to improve transparency on the procurement of fertilisers and have indirectly provided support through sector funding. Although WB appreciate the evaluators, they would probably have preferred new evaluators appointed for the 3rd and 4th evaluations to have a new perspective.

USAID and IMF

Both these donors were opposed to FISP at the start and have retained a fairly muted scepticism. The credible positive evaluation results have reduced their scope for active opposition. The World Bank is concerned about fiscal discipline, FOREX and macro-economic stability implications of FISP. USAID has critically engaged with the FISP process and has engaged in the transparency of the fertiliser transport process through a contract with ESOKO.

NASFAM

NASFAM has an advocacy arm which both collects evidence from its members and is a user of other's evidence. It has high appreciation of FAC material and is an avid user of the FAC website; using FAC publications to bring regional evidence and experience to its work. NASFAM was originally opposed to FISP because it undermined the private sector, especially its agro-dealers, and does not bring much benefit to its members. However, the evaluation results convinced it of the wider benefits to Malawian Society from FISP and NASFAM is now a critical supporter seeking further improvements to FISP.

FUM

FUM has undertaken the Sentinel Monitoring of FISP with technical support from the SOASS/ Wadonda evaluation team – it has been a productive relationship. FUM has been critically supportive of FISP throughout and has sought improvements. FUM considers it (and other membership organisations like NASFAM) has more influence in 'closed door' discussions with MoA and PCANR than in 'Megaphone-diplomacy'. It feels the key advantage for FAC would be to provide the evidence to organisations like FUM to enable them to argue their case with government. FUM would like FAC to be more 'demand driven' – prioritising research outputs with reference to the needs of organisations like themselves.

CISANET

CISANET represents 130 NGOs, individuals and farmers organisations (including FUM and NASFAM). It has been a partner of FAC since 2009. It has critically supported FISP and been active in promoting debate and recommendations for improvement. It has used the evaluation evidence, used FAC publications and given a platform to FAC members on numerous occasions.

External push/pull factors

1. Government of Malawi political imperatives;
2. 2008 food price hike and other Malawi level droughts/ food price fluctuations;
3. Elections.

Outcomes from the evaluation process

- DFID continues to fund and support FISP despite pressures;
- Continuing funding by DFID and a group of other donors;
- Improvements to programme design and implementation including:
    a. Change in area allocation from a maize area basis to a farm household basis
    b. Removal of cash crop subsidies
    c. Increased emphasis on targeting of women and vulnerable and poorer households has been informed by findings of weak targeting and of displacement.
- Capacity - In the 2013/14 evaluation all the work that had been conducted by these staff was undertaken by Malawian professionals. This was a point noted by the Permanent Secretary, Ministry of Agriculture and Food Security (September 2013);
- Civil society better informed and engaged in debate through presentations by FAC members and availability FAC and other publications;
- Malawi FISP experience available to an international audience through (FAC and other) publications, presentations and website.

Contribution of FAC

Research activity, funded and published through FAC, by the team which eventually won the evaluation tender was considered a contributor to their successful bid. Having won, modest co-funding by FAC to support qualitative data gathering and communication of the evaluation results proved very effective leveraging of limited FAC funds.

The main FAC communications impact within Malawi seems to have been through analysis and presentations given by FAC members at a number of civil society conferences and policy dialogues. FAC publications seem to have been less-well used (except by some key people in CISANET, FUM and NASFAM). The key MoA staff were not aware of major FAC publications that might have been useful to their work. More focus on distributing paper versions of key reports may help. With limited resources within FAC for direct policy dialogue with Government, resourcing key CSOs who have a seat on various Government policy development tables was an effective strategy.

A key contribution of FAC has been to take evidence and policy analysis from FISP and to communicate it internationally. This appears to be successful. Evidence from the FISP evaluations have been published in a number of peer reviewed journals and presented to a number of influential organisations including FAO, AGRA, ReSAKSS, DFID, IFAD, OECD, Netherlands' Ministry of Foreign Affairs, Kenya Government and the African Union Commissioner for Rural Economy and Agriculture. It is difficult to say how many of these presentations would have been made by FISP evaluators without any links to FAC.

FAC also funded the purchase and distribution of 200 paper back copies of the book by Chirwa and Dorward, and this order resulted in the OUP publishing the book in paperback for sale in Africa at a much lower price than the hardback price (paperback copies are normally only published two years after the initial hardback publication). This has enabled wider use of the book in Malawi in particular. The book has also been available as a pdf file under open access arrangements, with around 1000 downloads from over 20 countries (Malawi is the country with the most downloads) in the first six months of publication.

Gender and social difference

Gender and social difference was a major component of the FISP evaluation studies and the evaluation team persuaded the MoA to present more disaggregated data. An issue raised was whether open voucher registration meetings are more effective at ensuring inclusion of Female Headed Households (FHH) and the poor. Differential outcomes for different social groups were a major feature of the evaluation work and publications. One of the policy briefs was specifically focussed on gender differences in fertiliser use. Evaluation team members did not report specific guidance from FAC's Gender and Social Difference Theme Convenor in the design of the evaluation

work. One female FAC member noted however that she had found the theme convenor's presentation in Ghana and guidance notes very useful.

Value for money

FAC contributed around £115,000 to the FISP evaluation (total evaluation costs of around £1.2 million)[120] which appears effective leverage at x9. The total FISP budget 2008/09 to 2011/12 is estimated at around $660 million or $165 million per year (around £100 million). Adding a 25% contribution to the country coordination costs, FAC's contribution was about £125,000. Thus, with relatively small expenditure (in relation to the total value of the programme), FAC contributed to aspects of programme improvement, provided evidence to civil society in a critical debate in their country and contributed to sharing an important experience with a wider international audience. Although it is difficult to compare this with a realistic counterfactual, this does appear good value for money.

Lessons learnt about policy influencing and the FAC Theory of Change

This case study provides a number of lessons;

1. Leveraging further analysis and communication on the back of a series of evaluations involving large scale data collection proved effective.
2. FAC activity corresponded to the first three of the four components in the TOC step - **FAC Engagement in policy processes:**
   - **Direct engagement by individual FAC members and teams** - this was made possible because the implementers of the evaluation also happened to be FAC members;
   - **Identification and creation of fora for dialogue and debate** – principally through CISANET and their Policy Dialogue events;
   - **Production and communication of FAC knowledge products and services** – more hard copy availability might have added value to MoAFS staff;
   - **Encouraging others to be catalysts in policy debates and alliances** – encouragement was probably not needed. With more local communication resources there might have been more opportunities to build capacity through evidence and to connect with less conventional alliances like the Private Sector (MCCCI) – perhaps on the growth potential of FISP.
3. In relation to the **cycles of engagement and reflection** there is a view that civil society activists have got tired of the same people presenting similar papers in similar formatted conferences! There is a perceived need for academics to step out of their comfort zone and try different approaches. University of the Bush type approaches? (see also IS3). It is interesting that FUM in particular have recognised the greater influencing potential of *'closed door'* meetings with key players – but avoiding co-option and retaining transparency in such approaches is necessary.
4. The **Policy Processes** being influenced by FAC outputs did correspond to some of the processes identified in the ToC:
   - **Framing** – there has been success at framing the sensitive subject of 'exit' more positively as graduation. There has less success in framing the aspects of FISP that go beyond 'social protection' to getting a debate going on the 'growth' potential of FISP.
   - **Resource allocations, policy content and the way policy is delivered** – have all been addressed.
   - **Politics and interests** – have been very prominent, however space has been found for improvements in FISP implementation and opening the debate on sensitive issues like targeting and graduation.

[120] A rough figure for the contracts that SOAS had with DFID Malawi amounts to just over a million sterling excluding the costs of the 2006/07 household survey which was conducted by NSO. These figures include (Imperial College then SOAS) total expenditure claimed for work, for ODI and MSU under subcontract. It excludes costs of FAC contributions to research and dissemination.

The factor missing in the Policy Processes box in the FAC ToC is **personalities and relationships.** People matter! Change in the Permanent Secretary at the MoAFS was important in how the evaluation results were used. Personal relationships between FAC members and people in key organisations are important (for FAC these are often 'class mate' or 'tutor-student' relations). This is particularly important in a small country like Malawi with a limited number of institutions of Higher Education.

5. At the **impact level** in the TOC we have seen **influence of evidence** to keep donors on board with FISP and to make implementation changes within the political constraints of the programme. The evidence may not however be sufficient to keep DFID engaged in their next four year planning cycle.

   In relation to **stronger capacity to understand, analyse and apply political economy thinking** – there is some evidence of this among FAC members, FAC fellowship grantees and perhaps some key people in CSOs. It seems probable that, rather than contributing to **'adoption'**, FAC has contributed to the **'maintenance and improvement'** of **good agricultural growth and poverty reduction policies and practices.**

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- FAC WP 64 (2013) - The Role of the Private Sector in the Farm Input Subsidy Programme in Malawi
- FAC WP 66 (2013) - Targeting in the Farm Input Subsidy Programme in Malawi: Issues and Options
- FAC WP |(2012) - Conceptualising Graduation from Agricultural Input Subsidies in Malawi
- FAC WP (2012) - Agro-dealers, Subsidies and Rural Market Development in Malawi: A Political Economy Enquiry
- FAC WP 28 (2012) - Gender and Intra-Household Use of Fertilizers in the Malawi Farm Input Subsidy Programme
- FAC WP 2010 - Seeds and Subsidies: The Political Economy of Input Programmes in Malawi
- FAC WP (2009) - Agriculture and Social Protection in Malawi
- FAC Policy Brief 61 (2013) - Targeting in the Farm Input Subsidy Programme in Malawi, 2006/07 – 2011/12
- FAC Policy Brief 59 (2013) - Thinking about 'Graduation' from the Farm Input Subsidy Programme in Malawi
- FAC Policy Brief 57 (2013) - Fertiliser Use on Women's Plots: An Intra-Household View of the Malawi Farm Input Subsidy Programme
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- CISANET 2012 - Agricultural Policy Dialogue on the Future of the Farm Input Subsidy Programme (FISP) and the Role of Traders in the Commodity Markets.
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Impact Story 5 – Deferral of Kenyan Community Land Bill for Extended Consultation

Author: Martin Whiteside

Executive summary

This study analyses the impact from the deferment of the Community Land Bill. The deferment resulted from advocacy stemming from dissatisfaction among pastoralist leaders and civil society, informed in part by FAC research, about pastoralist land rights within the draft Community Land Bill. At the time of writing the Bill has just returned to parliament. There are changes recommended to the governance structures, with communities given more power to manage their land and natural resources and different levels of arbitration of conflicts. Many of the suggested changes are in line with the recommendations of FAC and other CSOs and reflect the findings from community consultations, but the final Bill is yet to be approved, so this remains a 'work in progress'.

Description of the impact event

This impact event results from dissatisfaction among pastoralist leaders and civil society, informed in part by FAC research, about pastoralist land rights within the draft Kenyan Community Land Bill. Pastoralist parliamentarians achieved a deferral and extended consultation with community stakeholders.

Sources of information and methodology

This analysis relies heavily on information from a FAC member working as part of the Pastoralism theme and FAC Documentation. Time and availability limited the number of other informants able to contribute to the analysis. Informants include the Pastoralism Theme Co-Convenor, two FAC members (Pastoralism theme), an advisor to the MNKAL and the FAC Hub-Convenor. An adapted version of the Rapid Outcome Assessment (ROA) was used to structure discussions and analyse the information presented. There is a conscious bias towards influences linked to FAC. This is because this was what the analysis set out to try and understand. However it is recognised that this is a partial analysis of what was a complex and multi-dimensional process. The 'impact event' focussing on the Community Land Bill was selected by the evaluation team from a list provided by FAC.[121]

Starting policy environment and background

The ownership and administration of pastoral land (described as 'waste and unoccupied land') and land occupied by native Kenyans was founded in colonial policy which vested them in a Native Lands Trust Board; even though in practice most pastoral and common property lands continued to be utilised in customary systems and were administered by customary institutions. According to the post-independence constitution,

> *"All trust land shall vest in the county council within whose area of jurisdiction it is situated".*
>
> *"'Each county council shall hold the Trust land vested in it for the benefit of the persons ordinarily resident on that land and shall give effect to such rights, interests or other benefits in respect of the land as may, under the African customary law for the time being in force and applicable thereto, be vested in any tribe, group, family or individual".*

The post-independence Constitution conferred far-reaching powers to Parliament and the President to alienate trust lands, thereby extinguishing rights provided under customary law. Central and local governments appropriated land and high-value key resources in rangelands, which have been allocated to a variety of external actors, though often supported by local elite interests, for wildlife and forest conservation, private ranching, plantation farming, military training and other uses.

The Land (Group Representatives) Act in 1968 advocated for security of tenure as a key instrument in promoting the development of the pastoral rangelands. It states that 'each member shall be deemed to share in the ownership of the group ranch in undivided shares'. It called for major changes in

[121] See the Evaluation Inception Report for a description of the selection process.

pastoral social and political organisation and livestock management strategies. Underlying the law was a new approach to pastoral development. Planners and policymakers assumed that pastoralism was inherently destructive to the environment, and that this diminished the productivity of pastoral herds. The argument ran that a ranching system in which group members had rights in particular land holdings, and hence a greater interest in improved land management, would help to increase herd productivity. The Land (Group Representatives) Act under which the group ranches were created provided an element of confusion and uncertainty with regard to how land classified as group ranches could be disposed of. According to the Act, members of Group Ranch committees were to hold and manage the land and other resources on behalf of the entire group for their collective benefit. However, in reality individual members disposed of their lands without approval of the group representatives themselves. Many poorer herders were pushed to sell their plots to speculators and wealthier members of group ranches. Although the Act was touted as a mechanism for entrenching customary land rights, most group ranches were sub-divided into individual holdings within two decades, thereby undermining the intent of the Act to provide secure tenure while improving the productivity of pastoral herds.

Since 1999 there has been a paradigm shift in the policymaking and legislative processes with regard to pastoralism. Kenya has begun to recognise pastoralism and community rights over land and resources existing therein. The new Constitution (2010) provides for community land which shall vest in and be held by communities identified on the basis of ethnicity, culture or similar communities of interest. In 2009 the new Land Policy changed 'trust land' to 'community land' and the allocation of its title to a particular community group. Community land boards elected by communities themselves were to manage access to land. Despite this recognition there remains an array of anomalies and inconsistencies in some provisions of the current proposed land bills that form the framework for implementing the constitutional provisions related to community land.

A new Land Act (2012) is mainly concerned with lands that are designated as public or private; it has very little to say about 'community' lands, and while it has implications for community land, it does not elaborate how community land will be handled. This is a weakness as it is supposed to be a guide to other bills in identifying the different categories of land tenure regimes and their management processes.

The Community Land Bill (2011) (introduced alongside the Land Act) provides for the allocation, management and administration of community land and establishment of Community Land Boards. It does however have significant weaknesses:

- It fails to build upon existing customary land institutions and instead prescribes what these institutions should be;
- Community authority to elect/appoint members to the Administration Committees and Community Land Boards is not entrenched;
- There is not an identified legal process for establishing community ownership of 'Trust Lands'. It does not elaborate provisions for conversion of land from private or public to community, and vice versa, nor does it provide a framework for recognition, protection and management of community lands.[122]

Timeline

Pre-2009	Group ranches in practice resulting in sub-division to individual holdings. Tendency for Councils to manage Trust Lands in interest of local government.
2009	Post-election violence settlement. The new Land Policy changed 'trust land' to 'community land' allowing the allocation of its title to a particular community group.
2010	New constitution gives communities rights to own and manage land.

[122] FAC Policy Brief 73 (2014|) - Kenya's Land Reform Agenda: Pastoralism within the Current Land Debate

2011	Seven Land Bills introduced and discussed in parliament (the main purpose being to provide interpretation and implementation of the New Constitution). Out of these, five were passed into law.
2012	Land Act passed by parliament but Community Land Bill deferred for further consultation. Evidence of the potential implications from the Community Land Act presented by FAC (particularly outputs from a FAC member's work in Laikipia). FAC member and Laikipia elders brief Parliamentary Pastoralist Group.
2013	FAC member is part of the Community Land Bill Consultation Team. The Consultative Stakeholders Forum (operating from September 2012 – November 2013) aimed to get views from different interested groups on the Community Land Bill.
2014	Community Land Act re-presented to Parliament with report from stakeholder consultation.

Contribution of FAC

Getting the legislation right in relation to community rights to land, and within this, different aspects of pastoralist rights to land and land based resources is a complex and critical issue. The evaluation team consider that FAC researchers' have contributed valuable and unique research evidence to this issue in Kenya. The degree to which this evidence has been used in the drafting process remains unclear. FAC had some respected and committed researchers producing evidence that touched upon important land issues; however, FAC did not have the institutional footprint to be a significant policy influencing force on what is a contentious issue with strong vested interests.

Although a Policy Brief critiquing the Community Land Bill was drafted in 2012/13, and used for briefing the Pastoralist Parliamentary Group in draft form, it was not formally published until July 2014. The delay seems to have been in getting comments from FAC theme leads and peers. This reduced the brief's potential usefulness, particularly by third parties who were unaware of the draft paper.

By the time the Policy Brief was published the stakeholder consultation on the draft bill had returned to parliament and there was a need for a short new critique on what was being re-presented to parliament. This illustrates that FAC's procedures (including unpaid peer review) and timetables are more appropriate to the research world than the fast-moving rough and tumble of the advocacy world.

This suggests that FAC does not really have the capacity for sustained stand-alone advocacy, and that this is not its comparative advantage, or even it mandate as an evidence provider. FAC would have benefitted from a clearer strategy of providing the research evidence and political economy analysis to be used by the more dedicated and better resourced advocacy organisations. This did happen to an extent, and was valued, but could have been more effective if it had been a more explicit strategy (e.g. see Impact Story 3 Evidence for Civil Society Led Advocacy in Malawi).

The work of a FAC member in providing information to those advocating on these issues was valued. However, some of those working closely with the FAC member were not aware of his connection with FAC. This is not in itself a problem, as it is the evidence that is important rather than the brand, but it does indicate the light institutional footprint of FAC. This is a consequence of the modest funding provided and the focus by FAC on using the limited funds to support research and researchers rather than building a heavy institution. The FAC member's core work was focussed on land deals, specifically to inform policy on how land deals are impacting on the socio-economic status of communities. This might not directly relate to the land reform agenda in Kenya, based on the Community Land Bill, but broadly helps in informing policy makers of the deals that are taking place and how they impact communities.

Value for Money

FAC's work through the Land theme in Kenya cost around £25,000. FAC's Kenya coordination costs were around £41,000, of which 25% can be attributed to Land theme work. This is extremely small in comparison to the potential positive or negative consequences of getting this legislation right or wrong. It seems probable that investing slightly more funds (i.e. ensuring the policy brief was

published earlier, and being prepared to rush-out an update once the Bill was returned to parliament) and a more planned partnership with Kenyan advocacy organisations would have delivered additional value at a relatively modest additional cost.

Lessons learnt about policy influencing and the FAC Theory of Change

- Although it is possible to influence policy on a very limited budget, more significant influence will require either:

  a) a more significant institutional footprint able to track the policy making process and build influencing capacity; or

  b) a clear partnership with nationally based advocacy organisations – with FAC contributing to the evidence and analysis.

  In most cases option (b) seems likely to reflect the comparative advantage of FAC and therefore be a more appropriate strategy.

- A FAC member's invitation to be part of the stakeholder consultation process on the Community Land Bill was important. He was chosen, at least in part, because of his previous work with FAC and the meeting organised for the Pastoralist Parliamentary Group. The Policy Brief - Kenya's Land Reform Agenda: Pastoralism within the current land debate - was shared with MPs when it was still a draft to help inform their debate in Parliament

Documents consulted

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- Policy Brief 7 (2006) – Agriculture Policy Processes in Kenya
- Working Paper 22 - The Long Conversation: Customary Approaches to Peace Management
- Working Paper 59 (2013) - The Politics of Revitalising Agriculture in Kenya

People consulted

[This case study has had names removed to preserve participant confidentiality]

Impact Story 6 - African Union "Drivers of Success in African Agriculture" study and Malabo Declaration

Author: Sally Baden

Executive summary

In line with its overall objectives, FAC has attempted to engage formally with the Comprehensive African Agricultural Development Programme (CAADP) institutions in order to strengthen CAADP policy processes, although until recently these efforts have failed to gain significant traction. In 2013, FAC's Political Economy Theme Convenor was invited to participate in the 'Drivers of Success in African Agriculture' study, commissioned by the African Union Commission, in anticipation of the 'Year of African Agriculture in 2014' and following on the 10th anniversary of the 2003 Maputo Declaration. This study covered seven countries (Ethiopia, Tanzania, Malawi, Rwanda, Ghana, Sierra Leone and Nigeria) and involved a number of researchers from FAC's network. It was completed in November 2013 and shared with senior officials and African agricultural ministers both in country and in various continental meetings, leading up to the AU Heads of State Ministerial (HoS) in June 2014. The Drivers of Success study catalysed considerable energy from senior officials and agricultural ministers, by bringing to the fore a political, rather than a purely technical, understanding of why some countries are meeting their AU/CAADP commitments while others are falling behind. Under this momentum, the Declaration of the AU HoS meeting restated and extended its CAADP commitments for the coming decade. This engagement has brought FAC's particular frame of analysis into the CAADP institutional process, garnering interest from both the AU Commission and member states and laying the groundwork for FAC country researchers to be involved in future policy analysis and capacity building.

Description of impact event

FAC researcher collaboration in AU commissioned Drivers of Success study for review and renewal of CAADP targets and commitments by African Union Heads of State in Malabo.

Sources of information and methodology

This analysis is derived from consultation with representatives of the AU/CAADP, FAC and other researchers engaged with the Drivers of Success study, and review of internal FAC and external documentation. An adapted version of the Rapid Outcome Assessment (ROA) was used to structure discussions and analyse the information presented. There is a conscious bias towards influences linked to FAC. This is because this was what the analysis set out to try and understand.

The 'impact event' was selected by the evaluation team from a list provided by FAC.[123] Given the focus of FAC on policy strengthening in CAADP (including as a logframe outcome) it seemed important to have at least one impact case focused on CAADP wide processes. By their own admission, FAC has struggled to gain traction and get direct engagement with CAADP institutions. Repeated conversations with the NEPAD Secretariat in particular have not translated into concrete agreements. Consequently, this case, whereby direct engagement had happened between FAC researchers and AU /CAADP institutions and processes, would appear to represent a breakthrough with considerable future potential.

FAC's own activities and outputs are also documented in a timeline below. Drawing on insights from key informant interviews, and to a lesser extent on documentation (see sources below), an attempt is made to establish linkages both direct and indirect between FAC activities (and/or other factors) and the behaviour changes.

[123] See the Evaluation Inception Report for a description of the selection process.

Starting policy environment and background

Introduction

In 2013 the African Union Commission Department of Rural Economic Affairs commissioned a study on 'Drivers of Success in African Agriculture', aimed at reviewing CAADP targets and understanding the drivers of positive performance, in order to 'sustain the momentum' of CAADP at the beginning of its second decade. The study covers the agricultural story, the institutional / innovation story and the political story of agricultural performance in seven countries including "FAC countries" (Ethiopia, Rwanda, Tanzania, Ghana, and Burkina Faso) as well as Nigeria and Sierra Leone.

The study was designed to inform and support African policy makers in formulating new commitments for the next decade of CAADP/ AU work on Agriculture - "Maputo II" - culminating in a declaration at the AU Heads of State Summit at the end of June 2014.

The Gates Foundation provided the funding for this study as well as two parallel studies on financial commitments to agriculture, contracted to IFPRI. A team led by ALINe (Agricultural Learning and Impacts Network)[124], and including a senior FAC researcher/ Policy Processes Theme Convenor and a researcher from Technical Assistance to NGOs (TANGO) in the USA, oversaw the work of the seven country teams (total 27 African researchers) on this study.

Policy context

In 2003 African Heads of State launched the 'Maputo Declaration' which committed governments to investing 10% of public expenditure in agriculture in order to attain agricultural growth rates of 6% a year. 2013 marked the 10th anniversary year of CAADP. Following a number of years of investment of regional and continental institutions as well as the donor community which had, in the main, strongly aligned behind CAADP there was a sense of needing to review and assess what had been achieved.

In July 2013, African Heads of State designated 2014 the African Year of Food and Farming, creating an opportunity for greater policy attention to the CAADP process and its follow up. A number of actors (within AU and CAADP institutions, in donor community, and among civil society in particular) were interested in ensuring that the political momentum behind CAADP could be sustained, or even renewed and extended, for the decade from 2014.

Over recent years, the donor community has criticised CAADP for being bureaucratic and technocratic and there has been a build up of frustration with the apparent lack of progress in some quarters. External commentators have also highlighted challenges with the existing targets and country performance. Nevertheless, progress had been made in creating a sense of African ownership of the policy agenda on agriculture; and putting in place the institutions and mechanisms to support the adoption of improved agricultural policies in line with CAADP targets.

Meanwhile, CAADP has also been perceived by some African governments as an 'external' intervention, and it has taken time for governments to engage with or adhere to CAADP processes. New players and initiatives (e.g. the emergence of Gates Foundation as a major actor in agricultural development in 2006; growing private sector engagement in agriculture in Africa and related to this the decision of the G8 to launch 'New Alliance for Food Security and Nutrition' in 2012) have emerged over the past 10 years. CAADP institutions have had to invest heavily in ensuring alignment between these and the established CAADP processes.

Overall, performance has been variable. Not all countries agree that a common set of targets are appropriate, in the case of South Africa, for example, because agriculture does not have the same significance or contribution to its GDP. Therefore, a question arises: should the 10% of public expenditure be a guide for all countries or should it be varied in application? Evidence suggests also

[124] The Agricultural, Learning and Impacts Network (ALINe) is an initiative that provides research, advisory, and facilitation services for monitoring, evaluation and learning in the agricultural development sector. It is currently housed at Firetail, a Strategy Consulting firm in London http://www.firetail.co.uk. ALINe was previously housed at IDS. See http://www.aline.org.uk for more information.

that the proportion of countries that are committing this level of resources is still low, though growing, and that progress towards CAADP targets overall has been slow. By reviewing progress towards the 10% government expenditure and 6% agricultural growth targets, it was felt that there could be an opportunity to improve CAADP momentum, particularly by drawing attention to those countries where more progress has been made and identifying what lessons could be built upon for roll out elsewhere.

Background to FAC's work related to this impact event

The 'Policy Processes' theme of FAC is one of the core themes initiated in 2006, and is 'cross cutting' i.e. it informs the approach to policy analysis and influencing across all thematic areas. FAC's work on this theme has sought to understand the political incentives driving or constraining the implementation of pro-smallholder agricultural policy across African countries. The aim has been to understand which policies may be "politically feasible" in which contexts; and how donors, civil society groups and CAADP can most effectively engage with domestic policy making processes.

The political economy of agricultural policy analysis (PEAPA) project began in 2011. This built on insights from, and relationships established, during earlier FAC work on the role and performance of Ministries of Agriculture at district level in Malawi and Kenya, conducted during 2007-10. There have been two main phases of PEAPA work to date, both using a comparative case study approach across eight countries: Burkina Faso, Ethiopia, Ghana, Kenya, Malawi, Mozambique, Rwanda and Tanzania.

In the first phase (2010-11) country authors analysed a major agricultural policy event or feature of their choice that usefully illustrated wider political dynamics in the country and how these influence agricultural policy[125]. Eight FAC working papers (seven country cases plus synthesis) have emerged from this and been published on the FAC website. The paper by Kassahun Berhanu on agricultural extension in Ethiopia has been downloaded 10,088 times (as of 08/04/2014) and the synthesis paper has also proved very popular.

The second phase (2012-14) of the work on political economy focused specifically on the CAADP process and how this has been influenced by domestic political economy considerations in five countries (Rwanda, Tanzania, Ethiopia, Malawi and Burkina Faso) [126]. The choice of focus on CAADP for PEAPA phase II was in part influenced by DFID. Specifically, this phase set out to *"examine the engagement (to date) of the eight countries with the CAADP process, comparing the nature and speed of participation in the CAADP process across countries"*.[127] These comparative studies of the CAADP process were intended to assess to what extent the contrasting political incentives for agricultural performance (as identified in phase 1) explain the observed differences in CAADP engagement; or what other factors help explain these differences.[128]

This work was expected to illuminate how policy change might be brought about more effectively, rather than to directly influence policy change or strengthening. The research was clearly intended to feed into CAADP processes, for example, by influencing the type of background studies conducted by the New Economic Partnership for African Development (NEPAD) Agricultural Unit, by the International Food Policy Research Institute (IFPRI) / and by the ReSAKSS[129]Country focal points. Specifically, it was highlighted that findings would be presented at the annual CAADP Partnership Platform event. The political economy analysis was also intended to feed into CAADP country compacts and to influence CAADP institutions to themselves commission political economy studies.[130] However, due to initial delivery delays within the team, then to further delays in finalising the synthesis paper, the impact of this phase of research on these policy processes was not maximised.[131]

[125] Concept note written in March 2010 to cover activities to end 2011.
[126] Concept note states activities to be carried out January - June 2012; but in practice some activities (e.g. publication of synthesis study) have extended into early 2014.
[127] Key Informant Interview
[128] PEAPA Second phase concept note v 1 (5/12/2011)
[129] Regional Strategic Analysis and Knowledge Support System.
[130] Concept note for political economy study 9/3/2010.
[131] Ibid

Building on these studies and on the growing interest in the issues raised, the FAC Policy Process team organised a conference entitled “The Political Economy of Agricultural Policy in Africa (PEAPA)” in South Africa on March 18-20th 2013, which gathered around 120 participants – from academia, civil society, donor agencies and African governments, though the latter category was not strongly represented (they included a Kenyan MP and an ex-Minister of Agriculture in Zambia who remains an MP). The aims were quite general, rather than targeted at a particular policy "moment”.

Several related research programmes from Africa, Europe and the US organised and funded parallel sessions alongside presentations of work by four of the FAC themes: Policy Processes; Land; Science, Technology and Innovation; Brazil and China in African Agriculture. This was intended to enable possible cross fertilisation of work across research programmes and, potentially, the influence of FAC political economy thinking among academics. Since this conference, country studies have been published as FAC working papers and a synthesis of these studies has also been prepared (published February 2014).

Timeline of FAC outputs and policy “outcomes” related to AU study

When	FAC output	Policy target/ Outcome
2012 onwards	Dissemination of FAC political economy (PEAPA) studies	Senior Advisers/ AUC aware of FAC outputs and using them to understand broader policy context in CAADP
spring 2013	FAC theme convenor approached about Firetail/ AU study	
June 2013	FAC theme convenor and Firetail team go to Addis to meet senior AUC adviser and colleagues	
June-July	FAC researcher taps into FAC network to constitute country teams	
August to October 2013	Research carried out in seven countries including Burkina Faso, Ethiopia, Rwanda and Tanzania. FAC theme convenor produces Ghana report and overall conceptual framework.	
Nov 2013	Synthesis report delivered end of November	
		Senior AUC adviser presents study findings at high-level AUC meeting in Addis, chaired by Kofi Annan, with 7-8 Agriculture Ministers, AU team, and a few others (e.g. head of IFAD)
		Strong Interest/ positive reaction from agriculture ministers/ advisers in attendance.
Jan-Feb 2014	Country teams finalising studies	Country teams present studies to national agriculture ministries
March 2014		Firetail team presents study at annual CAADP partnership platform in South Africa including to high-level panel of agriculture ministers.
		Positive reaction from AG ministers/ advisers in attendance; debate focuses

		on political leadership and youth/ security issues re agricultural policy.
March 2014	Discussions with senior AUC adviser initiated in Dec 2013 lead to agreement to produce and co-brand country policy briefs from the "Drivers of Success" studies as AUC-Firetail-FAC products, for download from the FAC website among other places.	
May 1 2014		Senior AUC adviser presents study findings at Agricultural Ministers meeting in Addis, where committee set up to see how to take key messages into Heads of State (HoS) meeting.
20-27 June 2014		African Union HoS summit, Malabo, Equatorial Guinea recommits to CAADP targets and extends these with new targets and clear policy orientation
May-July 2014	Country teams prepare policy briefs based on seven country studies.	
Sep 2014	Publication of special issue of Development Policy Review on Political Economy of Agricultural Policy in Africa [132]	

Key behaviour changes observed to date

Key AU Commission (AUC) personnel clearly perceive that the 'Drivers of Success' Study has been critical in influencing the organisations' thinking as well as that of Agriculture Ministers and Ministry staff building up to the AU Heads of State meeting. A key change has been the inclusion of an explicitly political analysis in the Drivers study (in what has been previously a very technical, target driven discourse) through informal discussions between the research team and the AU in June 2013. The long-term work of FAC in this area has clearly had an influence on the AUC, which was engaged and excited by this 'new' emphasis.

The extent to which the findings of the "Drivers" study are directly reflected in the actual Declaration of the Heads of State is perhaps less clear. However, while there may have been other sources for the content of the AU declaration, this study was certainly the most substantial piece of analytical work carried out by CAADP institutions to inform the collective thinking and commitments of African governments on agricultural policy and strategy going forward.

The political economy piece is the most complicated aspect of the study and 'how that plays a role in reaching the right people to get the right decisions'[133]. At the level of AU Commissioners and in the Declaration itself some strides have been made. Although some of the messages are not new, policy makers are now more receptive to them. Perhaps timing has been critical here, since some countries have only been seriously engaging with CAADP in the last 3-4 years.

When the synthesis study was first presented at the meeting with Agriculture Ministers in Ethiopia in November 2013 there was also a very positive response. '*People for first time believed in the CAADP*

[132] See Development Policy Review, Vol. 32, Issue s2, September 2014, Special Issue on Political Economy of Agricultural Policy in Africa. http://onlinelibrary.wiley.com/doi/10.1111/dpr.2014.32.issue-s2/issuetoc

[133] Key Informant Interview

process actually working. CAADP is a qualified success. Principles behind investment and growth, investments in making inputs and new varieties available, [show that] Ethiopian extension investment [is working].[134]' Similarly, a new energy and engagement was catalysed by the study in subsequent meetings of Ministers of agriculture and in the CAADP Partnership Platform in Durban.

However, as all informants were keen to emphasise, the 'proof of the pudding is in implementation' and the extent to which, coming out of Malabo, African leaders take the message back to their countries via press conferences, cabinet meetings etc. At this stage it would be unrealistic to expect any changes in policy or approach from AU political process to have filtered through into the CAADP technical institutions or to country level, so the long-term impact from the commissioning of this study remains to be seen.

Key influences on these changes and FAC contribution

The AU CAADP lead / senior adviser was a central player in ensuring the study took place, playing a critical role in agreeing the TORs for the study - including its emphasis on a more political analysis - overseeing the study as it took shape and ensuring that it was linked into the African policy processes at continent wide levels.

The network of 'policy entrepreneurs' and leaders inside and around the Gates Foundation, and their ability to make linkages to key policy makers in Africa, have also been instrumental to (a) ensuring the drivers study happened and (b) ensuring its influence in discussions of political leaders on the African continent. Specifically, Gates Foundation provided the finance for the studies, and key staff (and former staff) made the links between ALINe and the African Union Commission as potential partners in this study. The flexibility of financing mechanisms that the Gates Foundation was able to bring into play, both for the study itself and the subsequent meetings, has also been important to the impact of this work. A senior staff member in the Gates Foundation provided the finance for the 'private meeting/high level workshop' in November which was critical to building interest among a small but influential group of Agriculture Ministers in the study.

The head of the ALINe research team (and the organisation itself) also emerges as a key player. The research leader previously worked at the Gates Foundation and is currently leading an initiative which provides technical M&E support to Gates' work on agriculture. She has an established reputation as a policy entrepreneur who 'makes things happen' and for ensuring delivery happens. When Gates decided to support the AU studies, they looked to her for guidance. The ALINe research lead also has a longstanding connection with the FAC researcher involved in this study.

FAC Contribution

FAC's contribution to this 'impact' came about indirectly, rather than through FAC's planned activities on CAADP. The FAC theme convenor on policy processes was invited, in his capacity as an individual academic at the School of African and Oriental Studies (SOAS), to contribute to the Drivers of Success study. However, given that this researcher's profile on political economy analysis and wide networks and relationships with African researchers on this theme were largely built through his role as a theme convenor for FAC, it is clear that his role in this study is in large part a result of FAC's longer term investment in this work. Had FAC not existed, it is possible that he would have been invited to contribute in any case, but the study would not have had the political economy angle that it eventually had. The original study descriptors included institutional drivers of success, but not the deeper political drivers; the inclusion of this aspect was due to the influence of the FAC researcher.

The body of publications emerging from the policy processes work as a whole - and more particularly from the PEAPA work started in 2011 - has built the reputation of FAC and FAC researchers working on this theme both in global networks and at country level[135]. *An African Union representative*

[134] Key Informant Interview

[135] FAC's perception that the political economy of agricultural extension in Ethiopia paper by Kassahun Berhanu has gained them significant traction at AU level, did not come out of any of the discussions carried out for the

specifically referred to FAC publications and how they responded usefully to their interest in how to get countries engaged with CAADP, the politics of the policy process.

The choice of focus on CAADP for the second phase of PEAPA was timely given the approach of the 10 year anniversary, and the conference to present the draft papers was very well attended by a range of actors. This made this work visible to a wider audience. (*A key informant referred to this event and the communications around it as something that reminded them about the relevance of FAC and particularly [this researcher's] work on this issue*).

The existing body of work on CAADP and policy processes also meant that FAC had effectively developed a network of researchers interested and invested in this work, across five countries in Africa. The FAC theme convenor was able to draw heavily on this trusted existing network of FAC researchers to implement the Drivers study in each country speeding up the implementation of the study and no doubt contributing to its coherence and quality, since these researchers had already been exposed through FAC PEAPA work to similar concepts and ideas, and been mentored or had valued feedback through FAC and other theme colleagues. The country teams did much of the legwork and also made presentations within countries. However, the shape of the synthesis report and the main messages at continental level owe much to the core team – of which the FAC theme convenor was a key member.

This engagement has, finally, translated into a 'direct' agreement between the AU and FAC in the form of any agreement to produce country briefs out of the country studies.

Looking forward there is also an expectation from AUC of continued engagement/ responsiveness of FAC: "*the research has thrown up problems which FAC can help us to answer"*[136]. It remains to be seen whether this will happen in practice, and whether the types of question that the AU seeks to answer are ones to which FAC is willing and able to respond.

More generally, this case and broader processes around it indicate a growing interest of both donors and African policy makers in understanding the political economy of agricultural policy processes. Evidence for donor interest in this theme includes GIZ organisation of a training session for agricultural policy advisers in Accra, including a focus on political economy, which the FAC Theme Convenor involved in the AU study was invited to lead (June 2014). FAC members have also been invited to speak to donors on this issue (DFID, FAO, IFAD, Danida) during 2014. There is a strong probability that this interest has, in part, been created by the work of FAC in this area.

Findings relevant to other evaluation questions

In spite of the apparent focus of the whole FAC initiative on CAADP, it was really only in 2011 that attention began to be paid to the continent wide institutions and processes.[137]

At consortium level, FAC's first strategy was to appoint a CAADP focal person to try to establish relationships and explore openings for engagement directly with the NEPAD Secretariat, with limited impact. Meanwhile, in policy terms, the centre of gravity has shifted from NEPAD Secretariat to AUC, perhaps reflecting the presence of the senior advisor to the AUC (involved in this study) as a dynamic leader.

This case illustrates an important distinction between policy engagement, which is 'researcher driven,' versus 'demand driven'. The involvement of FAC researchers in the "Drivers" study came about through a "demand driven" process, itself the result of a lot of behind the scenes networking. It clearly illustrates how existing policy networks and long-standing relationships can influence both whether and how research is commissioned to influence processes. This suggests that going forward FAC can

evaluation. This may be due to lack of time for detailed probing or to poor recall on the part of respondents. It remains of interest to understand the extraordinarily high level of downloads of this paper (10,000+).

[136] Key Informant Interview

[137] In the workshop organised with FAC in April 2014 for this evaluation it was suggested that the emphasis on CAADP in the logframe was partly at the insistence of DFID: FAC sees country level processes as more important for policy strengthening.

usefully invest further in 'networking' of this kind, to be alert and able to respond to demand for timely evidence, and to build demand for certain types of evidence..

It also illustrates both the importance of 'African ownership' of research on policy processes to achieving traction with country governments; as well as, in this case, a conscious attempt to build this. This research was commissioned by the AU and carried out (at country level) by teams of African researchers (27 in total). While the core research leads from ALINe, SOAS/ FAC and TANGO played a significant role in conceptualisation, facilitation and refining and synthesising findings for presentation and publication, the AU lead and country teams also played a prominent role. Backstopping and 'coaching' of the African policy makers and researchers happened organically as part of this process, keeping the role of the external researchers somewhat in the background in line with ALINe's philosophy.

There is considerable potential for follow up on the nascent engagement between AU and FAC through the work undertaken on the Drivers study, to build a more sustained relationship and to support the capacity for improved policy making in CAADP. The current process of finalising policy briefs at country level arguably needs to be accompanied by further direct engagement of country teams with Ministries and Ministers, as well as with other actors in country attempting to strengthen CAADP engagement, including NGOs and farmer organisations, for example. This will be important to consolidating any gains from the changes outlined above, and to consolidating the FAC relationship with AU/CAADP institutions as well as Agriculture Ministers/ Ministries in key countries.

One key informant identified a strategic opportunity for FAC, as the emphasis within CAADP on country ownership and political leadership is growing. In this context, and with the adoption of the peer review process within CAADP, it is no longer clear how the existing institutions on which CAADP has relied for analysis and evidence (e.g. the RESAKSS) will function. The 'model' of research and analysis used in the Drivers study, drawing on the FAC network as well as other cross country networks, may indicate a way forward. The teams that have been established in the process of this study could have an important ongoing role, underlining the importance of building and supporting their capacity to engage at country level. Discussion with the CAADP lead in the AU suggests that there may also be follow up analysis to respond to questions raised by the existing study. Follow up engagement post Malabo would seem important to establishing and refining this future research agenda.

Leading figures in African agricultural policy making recognise the value that FAC brings and could bring to CAADP and related policy processes. The overall view is that *'no-one else is doing this [political economy of policy] type of work'* and that *'CAADP needs FAC'*[138].

A criticism voiced - in relation to CAADP but also more broadly - relates to a perception that FAC has limited direct engagement, or does not sustain engagement, in actual policy discussions. One commentator felt strongly that FAC had "missed an opportunity" with all the activities around the 2014 Year of Agriculture and Farming to really engage with policy makers at the key moments when they come together, drawing on its thematic work. Being present and engaged at the regular events - especially CAADP Partnership Platform; Agriculture Ministers Meetings; African Union Summits - is felt to be critical to any serious attempt to influence policy processes within CAADP.

Arguably, such direct engagement with CAADP was not given sufficient priority in earlier phases of FAC's work. Also, the AU, being the political owner of CAADP, might have been recognised earlier as a natural entry point for an initiative focused on the politics of policy making. No concerted power analysis was conducted by the theme convenor or his team in FAC to determine the best entry points for influencing CAADP processes; nor were specific policy targets or outcomes defined for the CAADP engagement through this theme.

A separate cross cutting FAC 'theme' on CAADP has emerged since 2011-12, with an appointed lead attempting to make FAC outputs more accessible to CAADP focal points in country and others. This

[138] Key Informant Interview

work is primarily focused on dissemination and does not seem to be directly linked to the PEAPA CAADP work.

Another perception of FAC's "boundary partners" is of an over-reliance by FAC on established IDS/UK researchers to backstop and represent the work of FAC externally. The suggestion is of a need for a shift in the capacity building approach: *'FAC in next 5 years needs to build the personalities of people in country rather than retaining (control) in the UK. [Think about] What African governments are going to pay for: high quality political economy research that they are going to commission'*[139].

FAC's "identity," institutional footprint and related questions of 'branding' and attribution of ownership also have a bearing on its capacity to influence policy processes. One senior researcher pointed out that decision makers at a certain political level are concerned to understand where the evidence is coming from, who 'owns' it, and what the underlying agendas are, as much as the actual content of the research. At country level FAC has limited visibility, as in most cases it does not exist as a legal entity nationally; except where regional hubs exist. Even in those cases, there is overlap of ownership with the host institution. This lack of visibility also perhaps relates to how individual FAC members choose to present themselves and their work, since few are direct employees of FAC. The lack of clear identity of FAC among senior African policy makers at country level thus poses a challenge.

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[This case study has had names removed to preserve participant confidentiality]

Impact Story 7- FAC influence on policy and practice on graduation from the Productive Safety Net Programme (PSNP) in Ethiopia

Author: Sally Baden

Executive summary

Since 2005, the Government of the Federal Democratic Republic of Ethiopia (GFDRE) has implemented the Productive Safety Net Programme (PSNP), with the objective to 'graduate' millions of chronically food insecure Ethiopians to productive livelihoods, supported by donors including DFID, the World Bank and USAID. By 2010, the graduation debate had became polarised, between the Government's desire to meet targets set in its Growth and Transformation Programme (GTP) at all costs; and a donor consensus that graduation requires a solid evidence base. In 2010, FAC's Growth and Social Protection Team began a new project aiming to broaden understanding of social protection as requiring both long-term safety nets for the most vulnerable, as well as flexible interventions to support food insecure people to develop sustainable livelihoods. Drawing on an 'enablers and constrainers' of graduation framework, research was undertaken with households and communities in four districts in each of two regions in Ethiopia in 2010-11, to deepen understanding of their perceptions and experiences of graduation. Results from this research were shared with regional and district officials, as well as NGOs and donors. Results were also subsequently published as a FAC working paper and later in journal articles.

FAC's research on social protection in Ethiopia has been one of a number of influences on thinking about graduation in the research as well as donor communities. In Ethiopia, the research grew out of, and has to some extent, shaped IDS and FAC Ethiopia researchers' involvement in the biannual evaluation of the Ethiopian Food Security Programme conducted jointly with the International Food Policy Research Institute (IFPRI) on behalf of government and donors. These evaluation findings, in turn, feed into donor dialogue with government about modifications to existing and the design of future policy and programmes. The full extent to which government positions on graduation and social protection have shifted will become more apparent when the design of the next phase of PSNP is finalised later in 2014. At this stage it is difficult to discern a direct policy impact of FAC's work in this area. FAC has meanwhile contributed to the development of capacity in country to provide high-level consultancy services to design and evaluate social protection policies and programmes.

Description of the 'impact event'

The 'impact' event explored here is: changes in perceptions of, and the piloting of new practices on, the graduation of chronically food insecure households from the Productive Safety Net Programme (PSNP) in Ethiopia; and – potentially - a review of the policy approach to graduation, influenced by FAC research on this issue.

Sources of information and methodology

This impact story is based on a review of FAC internal documents and publications as well as a number of key informant interviews. The choice of impact event was guided by a review of documentation from, and consultation with, FAC researchers in the UK.

A leading FAC member in this area identifies the main impact of FAC's work on social protection in Ethiopia somewhat differently as "*moves towards the adoption of a comprehensive social protection policy and system*"[140]. However, for simplicity, the main focus was kept on the issue of the PSNP and graduation from 2010 onwards.

An adapted form of Rapid Outcome Assessment (ROA) was used in interviews with individual key informants (some in pairs), including the FAC theme convenor and 3 FAC researchers working on the Social Protection theme in Ethiopia, 3 federal government officials, 4 NGO representatives, and 5 representatives of the donor community currently or recently involved in support to the Government's PSNP and wider Food Security Programme (FSP).

[140] Key Informant Interview

Government officials were difficult to access and had limited time availability. Given that much of this activity took place some 3-4 years ago, there was a problem of recall for some of the actors; others only took up positions in Ethiopia after the start of the period being examined. Documents were also gathered from some interviewees to supplement the FAC publications already available. Due to time and other limitations, the evaluation team was unable to directly interview any officials at regional and *woreda* levels of government.[141]

Most of the government representatives and some of the donors did not know of or clearly recognise FAC as an actor, and few informants could identify FAC activities, making attribution of any behaviour changes to FAC's activities difficult.[142.] Due to the limited recognition of FAC as an organisation, interviewees were asked not only about the activities of FAC, but also those of individual researchers associated with FAC, and were also questioned on their awareness of specific pieces of FAC research on social protection and graduation, and of the 'enablers and constrainers' framework.

Predating FAC work on graduation in Ethiopia, IDS also has a longstanding involvement in evaluating the Ethiopia Food Security Programme; and key IDS personnel are also involved in running the Centre for Social Protection research based at IDS[143]. Both of these activities may have separately or additionally influenced processes and actors, although the boundaries are quite fungible between FAC and non-FAC activities.

With a large number of actors involved, a complex and multi-layered policy context, and overlap of FAC funded work with wider activities of both IDS and FAC Ethiopia researchers, it was challenging to tease out robust "cause and effect" relationships between outputs and outcomes of FAC per se. The relationships indicated in this case study should thus be understood as tentative at best.

Starting policy environment and background

Since 2005, the Ministry of Agriculture and Rural Development (MOARD) in Ethiopia has been implementing the Productive Safety Net Programme (PSNP) with the initial objective (in 2005) of 'graduating' 100% of five million targeted rural Ethiopians off chronic dependency on emergency food aid within one 5-year programme cycle. However, by the end of the first phase of PSNP, only 53,000 had graduated and many of these had not reached sustainable levels of food security. In 2007-08 the government asked the International Food Policy Research Institute (IFPRI) to develop asset benchmarks to guide graduation. The 2008 evaluation of the Food Security Programme (including the PSNP) meanwhile highlighted the persistence of chronic food insecurity. In this context, the Household Asset Building Programme (HABP) was launched in 2010 to complement the PSNP. HABP focused on preparing households for graduation and building livelihood assets, primarily through enabling their access to finance.[144]

In 2010, the GFDRE launched its Growth and Transformation Programme (GTP), aiming to transform Ethiopia into a middle-income country. The GTP set targets of 80% of PSNP participants to graduate, which in effect means the entire public works caseload as 20% of participants receive direct support (i.e. they are not capable of physical labour). This sent shock waves around the donor community for whom the 'targets came from nowhere'. The wider economic growth focused aspirations of Ethiopia to be a middle income country require the government to show people moving rapidly out of chronic food insecurity, but there is little evidence that the majority of those graduated have become sustainably food secure (as per evidence from the programme evaluations).

By 2010, graduation issues had become highly sensitive and a source of considerable tension between the government and donors, with a stark difference of opinion. For the Government, the

[141] Numerous attempts to contact officials from Tigray and Oromiya regions during and following the fieldwork period proved unsuccessful.
[142] Seven out of 12 non-FAC informants knew of FAC and of these 6 could identify specific FAC research outputs or activities Two specific publications which key informants identified were the Devereux and Teshome policy brief (2010) and the more recent WP44 (Sabates Wheeler and Tefera), though most had only very recently seen the latter.
[143] http://www.ids.ac.uk/idsresearch/centre-for-social-protection
[144] The HABP was a development of the earlier 'Other Food Security Programme' (OFSP).

PSNP would not exist without a clear pathway to graduation and understanding of its transitional nature. Meanwhile, development partners were increasingly sceptical about graduation per se, feeling that this ignores a reality that there is always a bottom 10% who need social protection.

The policy environment around graduation and the PSNP in Ethiopia is highly politicised and sensitive and consequently it is a very difficult and slow, if not impossible, process to directly influence government. Some informants suggest that the party, rather than the government, is driving policy processes and key decisions; such that even at Ministerial level there is limited scope for influence. This underscores the challenges of influencing national policy in Ethiopia and perhaps explains the tendency of FAC to emphasise its links with the donor and NGO community and regional vs. federal government.

The extremely high level of donor engagement in the PSNP as well as the sheer size and scale of the programme mean that influencing donors is important, and also that there is a high demand for donor commissioned research and consulting work. It is this research, if any, which seems to drive the policy discussions and agenda in the donor community. IDS has played quite a major role here, particularly via its qualitative work on the biannual evaluations of the Food Security Programme (FSP).

The Intergovernmental Authority on Development (IGAD) was active in pushing for the development of social protection policies in its member countries, following the adoption of an African Union Social Policy in the wake of the 2008 food price crisis. IGAD also supported the setting up of a National Social Protection Policy Platform in Ethiopia, housed in the Ministry of Labour and Social Affairs (MOLSA) and jointly chaired by the Ministry of Agriculture and Rural Development (MOARD) and MOLSA, and subsequently funded by UNICEF.

FAC's objectives for work on social protection in Ethiopia (2010 onwards)

FAC's assessment at this time[145] is that "*the original graduation objective was (a) too ambitious, given the complex determinants of food insecurity in highland Ethiopia and the limited nature of PSNP support provided; and (b) misguided, since the primary function of the PSNP should be to install a protective safety net against the climate shocks that regularly undermine household and national food security in Ethiopia, not to 'exit' smallholder families out of any form of social protection support. Moreover, asset thresholds defined for graduation are applied inflexibly and often prematurely*".[146]

In 2011, FAC's global vision of the Growth and Social Protection (G&SP) theme was that *by 2015 'people involved in conceptualising, planning, implementing and evaluating social protection programmes, think about graduation differently – "beyond graduation". More specifically, we are seeking a change from "old thinking" about graduation that stresses "exit" and "crossing thresholds" to "new thinking" that focuses on sustainability and resilience – sustainable graduation' (FAC, 2011,* P 32.).

A recent retrospective assessment[147] in Ethiopia states that in 2010 the FAC G&SP team decided to engage with a range of stakeholders who were responsible for designing, implementing or financing the PSNP and related components of the Food Security Programme, with the explicit aim of shifting thinking and practice away from an excessive focus on the 'graduation' ambition of the programme. The specific objectives were to:

- Understand the complexity of food insecurity context by encouraging adoption of our 'enablers and constrainers' framework to analyse and assess graduation impacts of the PSNP; and
- Influence the PSNP to focus on graduation for those with the ability to graduate and safety nets for the poorest who are unable to graduate;

[145] As reported in 2014
[146] FAC 2014
[147] FAC 2014

Specifically, the FAC G&SP team aimed to *shift policy-makers' thinking* away from the view that the Food Security Programme overall and the PSNP in particular would have 'failed' if millions of participants had not reached the threshold indicators for graduation within a 5-year programme cycle – as well as more specifically the system of asset based benchmarking.

FAC also actively promoted the view that certain households/people are likely never to graduate from the PSNP due to their vulnerability characteristics (such as old age, lack of labour, chronic illness). This group is usually a sub-set of *Direct Support beneficiaries* (PSNP participants who receive unconditional cash and/or transfers because they lack labour capacity to work) should be treated differently from Public Works participants (PSNP participants who receive cash and/or food payment in exchange for working on local community-based infrastructure projects). *FAC argued that these beneficiaries should not be expected to 'graduate' and that they should eventually be supported by a different Ministry that had a welfarist rather than production-oriented mandate.*[148]

According to internal documentation produced in 2011, the main actors that FAC was aiming to influence were:

- National Government, particularly the Ministry of Agriculture and Rural Development and the Ministry of Labour and Social Affairs;
- Regional agricultural bureaux, especially in Tigray and Oromiya;
- Key donors supporting PNSP including USAID, DFID, UNICEF, and the World Bank; and
- NGOS implementing graduation programmes especially CARE, CRS, SNV, REST.[149]

FAC activities on Graduation from Social Protection Programmes in Ethiopia

FAC first initiated work on social protection - one of its core themes - in Ethiopia in 2007, through initial contacts with the Ministry of Labour and Social Affairs. In spite of expressions of interest by Ministry officials (at that point the existing Social Welfare Policy had been lying moribund for 10 years), these contacts gained little traction at first.[150]

In 2008 a plan was developed by the FAC theme co-convenors for a second phase of work under FAC's Growth and Social Protection (G&SP) theme. The first phase was focused on Social Protection and Agriculture and the second on Social Protection and Graduation.

During 2009-13 FAC's work on social protection included engagement in policy development and policy processes in Ethiopia related to the revision of the existing Social Welfare policy. Three main activities were envisaged: the inventory of the existing policy; the development of a concept paper; and a series of workshops to inform development of the subsequent national policy.

In the event, although FAC had initiated a process of engagement, the idea was taken up by MoLSA/IGAD and in 2009 a leading FAC researcher was commissioned by MOLSA as an individual consultant (rather than as FAC researcher) to do a mapping and gap analysis of existing government and non-government social protection interventions and approaches on Social Policy, with support from IGAD.[151] Regional workshops were conducted as part of this policy review process - more or less following the FAC policy dialogue model - but financed by IGAD rather than FAC.

Under the guidance of theme convenors, FAC G&SP funds were used to develop global concepts and ideas exploring the links between social protection and agriculture. This was shared in various forums in Ethiopia, facilitated by the FAC researcher, alongside the results of the IGAD funded mapping and

[148] This view emerged from earlier reviews of the PSNP (2006 and 2008) by a team composed of largely FAC researchers and the later (2009) study on options for Direct Support conducted by 2 FAC researchers for DFID, which found that the PSNP payments to Direct Support beneficiaries were being delayed due to non-completion of public works. It was argued that the latter should be treated separately. Source: Key Informant Interview

[149] See Table in 2011 Pathways to impact document.

[150] Key Informant Interview

[151] IGAD is a trading block and intergovernmental body comprised of eight countries: Kenya, Somalia, Djibouti, Uganda, Ethiopia, Sudan, South Sudan and Eritrea.

gap analysis and a separate study commissioned DFID in 2009 (related to direct support beneficiaries under the PSNP, also conducted by the same researcher).[152]

Meanwhile, in 2006 IDS and ODI researchers conducted a 10-*woreda* evaluation of the PSNP, combining quantitative and qualitative work, along with Ethiopian colleagues, with funding from DFID. Concurrently, a quantitative nationally-representative evaluation was being conducted by IFPRI with financing from the World Bank. Upon realising the difficulties of managing different evaluations of the same programme, the donors and government quickly moved to merge the two processes into a nationally-representative survey in subsequent evaluation cycles. This joint evaluation (between IFPRI, IDS and local consulting firm Dadimos) was subsequently institutionalised as the main review and evaluation mechanism for government programming on social protection and food security, under the joint auspices of MOARD and the Donor Working Group (DWG)/ Donor Coordination Team (DCT).[153] Through this evaluation, a panel of 5,500 households are followed on a biannual basis and both quantitative and qualitative analysis is carried out on outcomes of their involvement in the PSNP (compared to non participants). Three rounds of this joint evaluation have now been completed, in 2008, 2010 and 2012, with results published in peer-reviewed journals and widely discussed in regional and national workshops during the 6-9 months following the field research. The fourth round was underway at the time of this evaluation.

According to a key FAC G&SP respondent, it was in part IDS researchers' involvement in this exercise - and awareness of its limitations - that sparked the interest in more in-depth qualitative research on graduation in Ethiopia. The idea of the FAC-Ethiopia research on graduation was to follow a smaller sample of households at more regular (6 monthly) intervals, to get a more nuanced understanding of changes in livelihood strategies and outcomes of households participating in the PSNP, than the official evaluation would allow, which could inform policy and interventions.

This idea was integrated with the development of a four country research project in 2010, in Kenya, Rwanda, Malawi and Ethiopia, to address the question: *"What is it that enables or constrains graduation and how can social protection programmes be implemented that can enable [people to overcome vulnerabilities]".* This research agenda, focusing on different types of social protection programme in each country, was driven less by specific Ethiopian policy objectives and more by a desire to produce global answers to this research question.[154] This work was supported by new resources, which became available under the second phase of FAC as well as from various other sources, such as DFID, the World Bank, Concern Worldwide, the Gates Foundation and CARE.[155]

In 2010 a new FAC researcher (country coordinator) was hired to work on this theme. This researcher was already known to the FAC G&SP theme convenors as he had previously worked with IDS on the Food Security Programme evaluations through his consultancy firm. Other junior researchers were also engaged, indirectly, including through the FAC Early Career Fellow scheme, receiving substantial and effective mentoring from one of the FAC theme co-convenors.

The main FAC-specific activities during this phase were:

- The development of the conceptual and methodological framework on graduation ("enablers and constrainers") for field research;

[152] This study was commissioned by DFID in 2009. Findings were presented to one of the first meetings of the social protection platform in Addis Ababa in June 2009. The study has been revised and published as a book chapter: Stephen Devereux and Amdissa Teshome (2013) *From Safety Nets to Social Protection: Options for Direct Support Beneficiaries of the Productive Safety Net Programme.* In Food Security, Safety Nets and Social Protection in Ethiopia. Edited by Alula Pankhurst, Dessalegn Rahmato and Gerrit-Jan Van Uffelen, Forum for Social Studies, (pp 69-112), Addis Ababa.

[153] Comprising of the 10 main donors funding the GFDRE to deliver the PSNP and the wider Food Security Programme: including the World Bank, USAID, DFID, EU, DFaTD (Canada), Danida, WFP, Side, the Netherlands Ministry of Foreign Affairs, and Irish Aid. The working group meets monthly and has a 6 monthly rotating chair. The DCT is the secretariat for this working group, housed in the World Bank.

[154] Key Informant Interview

[155] Strictly speaking, only two of these were funded though FAC – i.e. the work in Ethiopia and in Kenya.

- (Informal) Sharing of framework with a limited number of key government, donor and INGO policy makers;
- Development of relationships with Regional and *woreda* level agricultural officials;
- Field research in four *woredas* each in two regions (Tigray and Oromiya);
- Presentation of field research findings to different audiences at *woreda*, regional and national levels; and
- Publication of FAC working papers and later of wider global journal articles on comparative social protection experiences.

A timeline of the main FAC outputs and some (tentatively) related outcomes is provided below.

Alongside these activities, IDS and other FAC linked researchers continued to be involved, in their capacity as consultants, in other work related to graduation and social protection, notably as part of the biannual FSP evaluation and also in advisory work in relation to the USAID funded Graduating with Resilience to Achieve Sustainable Development (GRAD) programme (designed in 2011 and implemented from 2012 onwards). These are noted, along with their relationship, if any, to FAC activities, in the timeline below.

Also in 2011, at the request of DFID-Ethiopia, one of the then FAC G&SP theme co-convenors convened and ran a donor workshop on 'What Next for the PSNP'. She was also commissioned by the World Bank to review and provide input to the draft National Social Protection Strategy of Ethiopia. Furthermore, in her role as qualitative Team Leader for the national impact evaluation (with IFPRI) she was asked to write and provide three briefing notes for the donors and Government on the main findings of the 2010 evaluation.

In this period FAC experienced some personnel changes and associated delays and setbacks[156] in the G&SP work overall and specifically in Ethiopia, perhaps contributing to loss of momentum and a weakening of capacity to follow up on the research and ensure its effective communication to wider stakeholders.[157]

Timeline: FAC outputs (and related non-FAC activities) and outcomes

Date	Outputs	Outcomes
2009-11	FAC G&SP team members contribute to designing the National Social Protection Strategy, One FAC co-convenor was consulted informally. The other FAC co-convenor reviewed a draft of the National Social Protection strategy in late 2011	Social protection policy drafted in 2011 and strategy developed 2013[158]
2008-12 biannually	FAC G&SP members contribute to rigorous joint evaluations (with IFPRI) of the PSNP in the highlands and its extension to lowland pastoral communities	Evidence from evaluations influences donor and government thinking and practice on implementation and future design of safety net/ social protection programmes: e.g. introduction of HABP in 2010; later changes to practice in implementation of the PSNP: e.g. re breastfeeding mothers,

[156] . In 2012 the theme co-convenor mentioned above took a 2 year sabbatical. While she remained involved in the write up and follow-up of the FAC-graduation work, the FAC G&SP theme operated with sole theme convenor until her return in July 2014.
[157] Key Informant Interview
[158] The policy is still with the Council of Ministers. The strategy is in its final stage of preparation which does not need Council of Ministers' approval.

		appeals procedures, advance warning of graduation etc[159]
2010	New FAC researcher joins FAC team[160]	
	FAC research on PSNP graduation starts in Ethiopia – framework and methodology developed	Framework and methodology shared with World Bank, who facilitates presentation of framework to MoARD. Initially positive response but later less supportive – FAC goes direct to regions to make links.
	FAC develops links with two regions for the research: Oromiya, Tigray (4 target woredas in each)	
2010-11	FAC research carried out in two regions on graduation of households from PSNP. The study focused on documenting the process as well identifying enabling and constraining factors of graduation.	
2011	FAC theme co-convenor designs and runs a three day workshop for all donors in PSNP, in Addis to discuss post-PSNP options	
	FAC G&SP team members engaged in delivering social protection training courses to Government of Ethiopia staff	
	Advisory support to INGOs on graduation programmes : CARE Ethiopia, Farm Africa	Influence on thinking behind GRAD programme, via discussions with key stakeholders.
August 2011	FAC research published[161]	In 2011 CARE asks FAC to write up the baseline data (15 day contract) from the survey as a background input into its design of the GRAD programme.
2011-12	The findings of FAC-supported research on Graduation of Households from the PSNP presented to *woreda* district and regional officials 2x in each of 2 regions, as well as two NGOs (CARE and Farm Africa) in	Regional officials thinking about the PSNP implementation and approach to graduation is influenced?

[159] Key Informant Interview

[160] This researcher has prior connection with IDS/ G&SP Theme co-convener since 2006, working on PSNP related issues.

[161] R. Sabates-Wheeler, Mulugeta Tefera, Girma Bekele (2011) Food Security through Increased Income, Asset and Protection from Grain Prices Rises (FS-IAP): Assessing Enablers and Constraints of Graduation: Evidence from the Food Security Programme, Ethiopia. (Care Baseline survey). And *Transforming Livelihoods for Resilient Futures: How to Facilitate Graduation in Social Protection Working Paper 023 Aug-11* http://www.future-agricultures.org/publications/research-and-analysis/working-papers/doc_download/1448-transforming-livelihoods-for-resilient-futures-how-to-facilitate-graduation-in-social-protection

	Ethiopia through workshops and reports during 2011 and 2012.
April 2012	Working paper 44 published[162]
June 2013	Working Paper 63 published[163]
July 2013	Publication of Development and Change Article on Enablers and Constrainers (Sabates-Wheeler, R. and Devereux, S. (2013))
2014	Research on 'Comparative Evaluation of Household Asset Building Programme (HABP) and Complimentary Community Infrastructure (CCI)' in collaboration with FAC East Africa Hub
May 2014	Centre for Social Protection International Conference, organised FAC GS&P theme convenor with support from former co-convenor involves researchers and government personnel from Ethiopia sharing experiences from around the world.

Key actors and behaviour changes observed

The majority of key informants interviewed are cautious about asserting any changes in the approach of the Government to graduation in Ethiopia's PSNP. Factors cited as constraining changes based on evidence include the highly political (party driven) nature of decision making, target driven graduation of populations (following the ambitious targets set in the GTP in 2010), being implemented to varying degrees in different regions/ *woredas* at different times. High-level technical policy makers openly admit the challenges and issues, and the need for more evidence-based programme implementation, but the high level political discourse has not, it seems, markedly changed. Persistent challenges to effective implementation, such as the 'outstanding loans' from the Other Food Security programme, remain unresolved; and there has been no review for more than 5 years of the asset based benchmarks (to account for inflation, for example) which are still being widely applied in spite of agreement that they need overhauling.

In the most recent joint monitoring exercise of the PSNP, one donor representative was told that it is a *"political non-starter to re-open discussion of [GTP] targets".* At the same time, there is a perception among donors of acute government sensitivity to the persistence of chronic food insecurity grounded in the country's history of famines; and of rurally-based uprisings fuelled by hungry populations. On the issue of graduation from the PSNP, there is often a political double-speak in operation; until late 2013 the GFDRE was publicly maintaining the stance that the PSNP was ending in 2014, while privately beginning discussions with donors about a new programme on the grounds that they did not want regions to 'take their foot off the pedal'.[164] One informant hypothesizes that PSNP participants may be given advance notice of their graduation this year and then simply re-enrolled on whatever new programme is put in place next year.

Nevertheless, there is some agreement on key changes as follows:

[162] Assessing Enablers and Constrainers of Graduation: Evidence from Ethiopia's Food Security Programme Working Paper 044 April-12 http://www.future-agricultures.org/publications/research-and-analysis/working-papers/doc_download/1590-assessing-enablers-and-constrainers-of-graduation-evidence-from-ethiopias-food-security-programme

[163] Graduation of Households from Social Protection Programmes in Ethiopia Working Paper 63 Jun-13 http://www.future-agricultures.org/publications/research-and-analysis/working-papers/doc_download/1741-graduation-of-households-from-social-protection-programmes-in-ethiopia

[164] Key informant interview with a donor representative.

- **National Government (involving a number of ministries, but principally MOARD as well as Prime Ministers office and political administration)** setting up of a National Social Protection Platform by the Ministry of Labour and Social Affairs supported by IGAD and UNICEF (2009) and subsequent development of a National Social Protection Policy (2011) and Strategy (2013). The National Social Protection Policy is scheduled for approval before end of 2014[165]. It is predicted by some that in the next phase of the PSNP (or possibly at the end of the next phase in 2020) direct support beneficiaries will be transferred to a new social protection programme under MOLSA. Moreover, MOLSA is now said to be asserting its role in wider policy and thinking on social protection, although there are major capacity challenges to be addressed.
- **Revision of the guidelines for graduation to *woredas* and piloting of a new Graduation Prediction System (GPS) in 2012 onwards and its subsequent roll out**: This may be more of a change in the donor group than the Federal Government. Interviews and documentation suggest that not all regions are ready for this and there has been 'rolling back' on the roll out. A key informant from the GFDRE also suggested that GPS may no longer be relevant as a new programme is being designed.
- **Changes to the implementation of graduation and PSNP procedures as a result of the evaluations**: Since November 2013 households are now given advance warning up to a year before they are expected to graduate – a significant change for those households.[166] Changes have also been made to the work requirements for breastfeeding mothers in public works programme and to the appeals procedures.[167]
- **Recognition by senior government technical personnel (by 2013/14) that the existing HABP programme has failed** or, at best, was met with serious implementation challenges and increasing openness to ideas about redesign of the HABP based on other pilots (CGAP, GRAD etc). Key areas of likely change here are the incorporation of a more market-oriented approach and a revised approach to financial services provision, mentoring etc.
- **Recognition that a new PSNP or equivalent will be needed post 2014 and beginnings of discussion of this with donors in late 2013.** The new PSNP was still under development at the time of the evaluation.
- **More generally, a (growing) willingness to look at evidence and to learn from experiences of other countries and in country pilots** in thinking about graduation and PSNP in the future – as evidenced, for example, by GFDRE departments sending people on training courses and to international conferences on social protection.

Key informants suggested that there have been changes over time in the extent to which regions are pushing hard on graduation targets, with Amhara perceived to be easing off since 2013, while Oromiya is doing the reverse, for example. The reasons for these differences are unclear, except that they are seen as highly political. Various sources also suggest that *woreda* level officials in the regions are frustrated with the current benchmarks, or do not really apply them. Reports from recent trainings on GPS in the regions also suggest varying degrees of willingness to try new approaches to graduation. Some evidence suggests that perceptions and practices of *woreda* officials towards graduation are changing – though in complex and contradictory ways.[168] Other sources indicate that hardline targets continue to be applied, with little reference to benchmarks, and with forced graduations leading to protests in some localities.[169]

Since 2010 the policy debate and dialogue around graduation between government and donors has moved in the direction of a more 'evidenced based' discussion. Whereas previously the discussion centred on the importance of graduation, and why it is needed; the focus is now more on how to enable it. In 2014 the second 5-year cycle of the PSNP comes to a close and the process of

[165] Key informant interview, donor representative.
[166] Interview with an NGO representative
[167] Key Informant Interview with a FAC representative
[168] Another challenge at *woreda* level, echoing the perceived disincentive of PSNP recipients to 'get off the programme' - is the lack of institutional incentive to graduate populations, since *woredas* benefit from significant resources as implementers of the programme
[169] Interview with a donor and NGO representative

designing post-PSNP interventions is well underway. The real extent of any major shifts in government policy on social protection, however, will become more evident once the new GTP and the new PSNP/ HABP are made public. In a follow up after the fieldwork, one key informant suggested that the new PSNP will involve significant expansion of the caseload in existing *woredas* as well as expansion into new *woredas* and a commitment that over time, it will be a fully national programme. Significant, and new human and financial (cash) government resources will be committed to the next phase of PSNP which will also have closer links to the government's nutrition strategy and 'agricultural growth' agenda[170]

Meanwhile, some changes in behaviour have also occurred among donors and NGOs, as well as in the research community, focused on social protection in Ethiopia.

Donors have become increasingly concerned with the issue of graduation since 2009-10. This is in response to, on the one hand, the Government's approach to targeting, and, on the other, the evidence of continued chronic food insecurity even among those graduating, from biannual evaluations and other sources. Other growing donor preoccupations in recent years are with climate change and nutrition, both of which have previously had little emphasis in the PSNP. Some, if not all, donors (notably the World Bank and DFID) are increasingly taking a systemic approach to thinking about social protection, which has informed their dialogue with the GFDRE; although it is very unclear whether GFDRE has bought into this approach.

USAID, while an active member of the DWG, funds social protection programmes separately through private contracts. In 2011 USAID launched a call for proposals for the GRAD (Graduation with Resilience to Achieve Sustainable Development) programme. GRAD is a 'third generation' social safety net programme intended to pilot and share learning about interventions to effectively enable sustainable graduation.

NGO implementers of the USAID funded GRAD programme include CARE and SNV. It is primarily through such funding contracts from USAID that NGOs have any (limited) influence over wider policies and practices in graduation.

GRAD's stated objective is to support 50,000 households to graduate sustainably.[171] GRAD aims to promote learning on pathways to "sustainable graduation," via demonstrating effective practice on the ground with a view to 'scaling up,' particularly through influencing the HABP. CARE and SNV's approach to sustainable graduation links food security, financial services, and value chain development. NGOs implementing GRAD collaborate with the GFDRE at all levels and have fostered close links with the HABP team in the Ministry of Agriculture, which now regularly participates in GRAD technical team meetings. NGOs have tended not to focus on the debates about 'graduation criteria,' seeing these as 'government decisions'. However, more recently, CARE has begun, with its partners, to develop its own vision of graduation.

A number of high profile international researchers and research organisations, in addition to IDS/FAC, are involved in work on social protection in Ethiopia, often through consultancies to the donor group. These include Cornell, ODI (which also participates in FAC), IFPRI, and the Food Economy Group, among others. A consultant from the IDL Group in the UK also has a long-standing involvement in the Food Security programme and ITAD have recently become involved in climate change work related to the PSNP[172]. Tufts University/Feinstein International Center is a learning partner with the GRAD programme and is also working on social protection in pastoralist areas. One or two informants suggested that IDS and IFPRI and their associated Ethiopian consultants have dominated the consultancy market and research around the Food Security Programme in Ethiopia.

Different researchers/ groups tend to have competing approaches to, or 'models of, graduation based on their analytical approach, e.g. the asset driven model; the aspiration driven model (IFPRI); and the

[170] Key informant interview, donor representative.
[171] CARE at al, 2012
[172] IDL Group is an international development consulting firm, now part of the GRM group. ITAD is a UK based consulting firm.

household economic analysis (HEA) driven model (Food Economy Group). Most notable perhaps is the work of IFPRI with whom IDS collaborates on the biannual food security programme evaluation, including both international and nationally based researchers. IFPRI was commissioned in 2007-08 to design the first set of asset based benchmarks for graduation in the first phase of the PSNP (2005-10). The asset-based benchmarks were felt by donors to be very impractical, though at the time there were no alternative proposals. There is now a consensus – including in the research community - that a different approach is required[173].

Influences on behaviour changes

A number of factors were identified by key informants as influences on the behaviour changes described above.

Donor dialogue with government: A significant pool of donors are organised in the donor working group, and work hard to be "aligned" and speak with one voice in their dialogue with government on the need for evidence based policy making regarding the PSNP and graduation. As a group, donors have cooperated closely and intensely which has strengthened their collective influence over government policy on social protection. In fact, several key informants (KIs) suggested that policy on social protection is 'donor driven' in Ethiopia. To the extent that shifts in GFDRE's approach have happened, the on-going dialogue and joint working with the World Bank in particular and the DWG more generally are seen as key influences.

The process of, and results from, the **biannual evaluations of the Food Security Programme** which follow a large, representative sample of 5,500 households, have gradually built a body of evidence over time showing that food security outcomes from the current PSNP are not always sustainable. This rigorous exercise has highlighted the limitations both of the existing PSNP approach to delivering food security to households, and (via the qualitative analysis) the challenges faced by households in attaining sustainable livelihoods, as well as the perceptions and practices around graduation. The qualitative analysis carried out by IDS and FAC linked researchers in Ethiopia has been an important component of this, informing thinking about the 'constraints' and 'enablers' of graduation.

The **joint monitoring mechanism for the Food Security Programme** is another important process. This is an institutional requirement of World Bank funding that has been implemented in a very participatory way in Ethiopia. Five to eight hundred people are involved from bottom to top in this process every six months, in all six regions. Initially, Government was sceptical about this approach but over time has realised there is now more structured space for dialogue/ discussion at all levels.

Some key studies commissioned through the Donor Coordination Team have influenced changes in Government's approach to graduation. Donors were pressing for some time (since 2010) for a study on looking at perceptions of graduation in the field, with a view to determining if the 2007 graduation guidance note was working. The study was eventually contracted to a UK based company (IDL) with a FAC researcher on the team. This was "*the first time government had allowed a study on the graduation processes*"[174]. Several months were spent negotiating over the terms of reference. The findings were presented at a large workshop at federal level, which then proposed 6-7 principles on 'what we would like graduation to be based on': e.g. evidence, flexibility, end of fixed asset benchmark, more livelihoods based (income, assets, livelihoods). This opened a conversation with the GFDRE that eventually led to an agreement to revise the graduation guidance note and, ultimately, later in 2012, opened the door for a new approach to determining graduation: the Graduation Prediction System (GPS). The fact that GPS software relies on the data from the Livelihoods Information Unit and draws on the HEA approach, which is already embedded in government institutions, means that the graduation prediction system can be easily implemented based on existing data.

[173] IFPRI has also collaborated with the Centre for the Study of African Economies in Oxford on research on aspirations, which has had some influence on thinking about graduation (Dercon et al, 2008; e.g. referenced in CARE et al 2012).
[174] Key Informant Interview.

Experience from pilot programmes does appear to have had some influence, among both donors and GFDRE, with USAID active in bringing GRAD experience actively to the DWG discussions. Perhaps most notably, the Consultative Group to Assist the Poor (CGAP) experience subsequently piloted in Ethiopia among 500 households in Tigray, financed by the World Bank and Ford Foundation and implemented in collaboration with the Relief Society of Tigray (REST), has influenced the GRAD programme design as well as, more directly, thinking about the HABP. After two years of implementation, the GRAD programme is starting to influence thinking in the HABP coordination unit regarding what is required to bring about sustainable graduation and the likely design of the next HABP programme. However, some NGOs also reported scepticism in the government about the replicability of resource-intensive USAID funded programmes; another programme with a less resource intensive approach using funds from Canada's DFATD[175] (formerly CIDA) is now being piloted by CARE.

International institutions and wider country experiences are also cited by key informants as having some influence on the debate and policy development on social protection in Ethiopia, i.e.

- The **adoption of an AU Social policy** spurred on by the 2008 food price crisis.
- The related **work of the Intergovernmental Authority on Development (IGAD) supporting its members to develop national social protection policies** (e.g. through MOLSA in Ethiopia). Arguably, without this IGAD initiative and UNICEF's subsequent support to the National Social Policy Platform, the Social Protection policy process would not have got off the ground in Ethiopia.
- More broadly, **information and comparative analysis about experiences of Social Protection in East Africa and elsewhere** was thought by a couple of informants to have contributed to more open debate in Ethiopia.

FAC contribution to behaviour changes

Attributing changes in behaviour (and policy and practice) to the influence of ideas and research is challenging; and rendered even more complex in this case by ambiguity over the extent to which changes have really happened, especially among GFDRE actors. A further challenge is the patchy awareness of FAC and its activities among the informants interviewed in Ethiopia.

The most positive reading on FAC's contribution to changes came from a senior advisor to a donor agency who felt that the influence of FAC and IDS research on **perceptions** of graduation was fairly strong among development partners participating in the PSNP. This group meets regularly on range of different issues and often discusses and commissions research. This informant believes that the work of FAC was "well socialised and understood" at certain key moments, e.g. in late 2009/ early 2010, and broadened the discussion on graduation pathways. FAC *'provided an alternative vision based on evidence, socialised that within the broader research community, and different people within the community having discussion on them (although not necessarily discussions with people who would actually make decisions).'*

FAC's research did not present a 'model' as such, but a framework for thinking about an alternative approach. While FAC's work was:

> *"Probably not essential to any change in the thinking… [it] reinforced the view of need for broader technical discussion, no longer taboo, ok that there are differences of opinion. Not from a technical programmatic perspective, more a philosophical perspective…. The important thing was to have a spectrum of informed opinions, rather than international ideology, or couple of other internationals going round and saying this is the way it will have been done.'*

In other words, FAC's research opened up the discussion to a plurality of approaches and possible options. Some of the ideas in FAC's work, e.g. the critiques of the asset benchmarking approach to

[175] Department of Foreign Affairs, Trade and Development.

graduation, are likely to have contributed indirectly to the now widespread support for changes to this approach to graduation in the PSNP.

Similarly, another donor representative felt that FAC was:

> *'one among a number of different influences - perhaps no 3 [in importance]? The second is the CGAP pilot and the first the impact assessment studies,* ***in particular the chapter on graduation and perceptions, actual criteria in practice*** *[bold added][176].*

Other informants were less specific (and maybe less convinced) about attributing any specific change to FAC's work. According to one INGO representative: *'Who knows'* but… *'FAC is a useful member the research community here. Things are moving in the right direction, so surely [FAC made] some contribution'.*

FAC may also have had some indirect influence on Ethiopian policy makers' thinking through the dissemination and communication of social protection experiences from other countries, particularly in East Africa. This contributed to broad awareness of developments in the sector and a sense among government officials, at a technical level, of the need to keep or catch up internationally. As noted above, there seems to be growing openness within GFDRE to understanding other experiences.

Regarding any influence of FAC on policy approaches or new practices, most donor representatives (including DFID, WB) were less clear - '*nothing concrete as far as I can tell*' - although this assessment should be placed in the context of a broad perception that there have been, overall, limited changes in policy and practice.

According to FAC's own documentation cited above, however, its work has influenced practice in social protection through its links with INGOs implementing programmes, particularly CARE, and via influence over government officials in regions and *woredas* where FAC research was conducted.[177] In the regions, both presentations to staff and the training of *woreda* level officials in the "enablers and constrainers" framework, may be mechanisms whereby this influence happened.

FAC's framework and initial baseline research has also to some degree influenced the thinking behind the GRAD programme through a number of channels; indirectly and informally, through discussions between IDS/ FAC researchers and CARE staff; as well as via a report which CARE commissioned in 2011 from IDS. This involved a write up of the original framework and results of the baseline survey for the qualitative research on enablers and constrainers.[178] Subsequently, it is reported that there was some behind the scenes tension over CARE's relationship to this research and how this would be used and presented, perhaps leading CARE to understate or discount its influence.[179]

Interviews with GRAD consortium members and USAID stated that the design of GRAD was based on:

> *'…. learning in PSNP plus, a document that came out from IFPRI on aspirations. That was incorporated in design. Definitely that was one key document[s]. We were in touch with [FAC researcher] at that point but the research didn't come to fruition. The idea was to look at what is it that makes some people graduate not others'[180].*

The GRAD technical programme document states that: *"the GRAD model builds on the World Bank-Ford Foundation model piloted by REST in Tigray, PSNP plus Project model funded by USAID and implemented by this Consortium, and the HABP model being implemented by the GFDRE"* (CARE et al, 2012: 16).

[176] This refers to IDS qualitative work as part of the biannual evaluation
[177] Regarding any influence on regional or *woreda* practices in implementing the PSNP or related programmes, the evaluation team was unfortunately unable to verify this due to limited time and opportunity to meet or discuss with officials at these levels.
[178] R. Sabates-Wheeler, Mulugeta Tefera, Girma Bekele (2011).
[179] Arguably the 'ownership' issue might have contributed to CARE downplaying any role of FAC research in shaping the thinking behind the GRAD programme: *"Would be conjecture. People say that the findings from that study have GRAD design, influencing thinking."* Key Informant Interview.
[180] Key informant interview with an NGO representative.

No direct reference is made to FAC or IDS research in the programme document. However, on page 30, it is stated that: *'GRAD also aims to promote situation specific graduation **enablers** and reduce the impacts of disablers and negative incentives [emphasis added]'* - perhaps a passing reference to FAC's framework. During one key informant interview with an implementing INGO of GRAD, another passing reference was made to the 'enablers and constrainers' framework being used with *woreda* level officials, suggesting that the framework may be incorporated into the implementation, if not the design, of the GRAD programme.

A final channel for influence on practice, although indirect, is through a FAC researcher's involvement in two rounds of assessment of the GRAD programme, as a consultant, most recently in carrying out the Interim Results Assessment[181].

Main findings

FAC and its research does not have a high degree of 'brand' recognition among policy makers working on social protection in Ethiopia, especially government officials. Awareness of FAC is bit higher among some donors, NGOs and researchers, though only a few informants could clearly describe any single FAC research paper. A few more recalled FAC presentations in different forums.

By contrast, the researchers who are members of the FAC Growth and Social protection team are well known to most donors, although as individual academics and consultants, rather than specifically as FAC researchers. While most interviewees had not heard of FAC, or did not obviously recognise the name, nearly all had both heard of, and in some way worked with, its leading researchers in Ethiopia. It was even suggested by one or two informants that the in-country FAC researchers have become the 'go to' consultants on social protection issues for many donors.

For those informants who have heard of FAC, there is acknowledgement of some impact on thinking in donor policy circles, although perceptions on the extent of this influence were varied. FAC (or the research of FAC members) is perceived by a couple of the leading donors as one of a number of research initiatives 'moving in the right direction' in terms of providing evidence to support an alternative view of graduation, to inform policy dialogue between donors and GFDRE on social protection. But it has not obviously been the most influential one, even for DFID or the World Bank, which have the closest direct ties to IDS/FAC researchers.

Regarding the influence of FAC research on changes in practice in graduation, or on any shifts in policy, it is highly probable that indirect influences have occurred via consultancy engagements in wider programme design, the biannual review processes for the PSNP as a whole, and for GRAD as a discrete programme[182] Moreover, several informants suggest that the influence of IDS' and FAC researchers' work via their long-term involvement in consulting work on social protection is strong, both on specific current practices in PSNP and, potentially, on the design of future social protection policies and programmes.

The early work of a key FAC researcher as a consultant to MOLSA (building on ideas from the FAC G&SP theme convenor), and of the FAC theme co-convenor's direct involvement in reviewing and redrafting the National Social Protection strategy, may have had an influence on the development of the National Social Protection Policy and its roll out in 2011-13, though as this is a separate policy process, there was insufficient time to investigate this in detail.[183] The FAC G&SP research in Ethiopia appears to have "spun off" the IDS consulting work on the FSP. According to a FAC researcher, the notion of enablers and constrainers came from the first mixed method evaluation that IDS/ODI /IDL and others did in 2006. This was then picked up and became the basis for the qualitative FAC/ Dadimos research on graduation. This research in turn informed the questions used in the national impact evaluation, especially the qualitative instruments[184]. In that way, it was an

[181] Tefera et al, 2013.
[182] Although these linkages proved hard to disentangle or clarify in a short space of time; requiring more detailed investigation and study of documentation than allowed for in the scope of this evaluation.
[183] This point was disputed in a brief discussion with MOLSA.
[184] Key Informant Interview with FAC researcher

iterative process. In addition, the "space" created by the FAC G&SP theme allowed researchers to develop and consolidate concepts and frameworks on social protection. These shaped the fieldwork in Ethiopia (and elsewhere) and were subsequently widely socialised among key stakeholders in Ethiopia and in the international research community.[185]

IDS' involvement in the PSNP evaluations preceded FAC's social protection and graduation work in Ethiopia, the latter in some sense being an offshoot of the former (both in terms of focus and personnel). The thinking emerging from the FAC G&SP research is claimed by FAC researchers to have substantially informed the approaches used by IDS/ FAC consultants in their consultancy assignments – although as stated above this is not directly obvious from the documentation. Meanwhile, two key FAC researchers in Ethiopia, through their collaboration with IDS/ FAC, have developed their capacity to secure and execute high level consultancy contracts on this theme including for both government and donors (e.g. MOLSA and USAID).

Overall, the influence of the FAC research/ policy engagement on social protection in Ethiopia during 2010-13 seems to be less than it could have been, for several reasons. Firstly, there seems not to have been a consistently clear focus or consensus on what and who the FAC work on G&SP was trying to change (or indeed if influencing policy debate in Ethiopia was a priority objective vs. getting new research done and published; or winning consultancy contracts).

Secondly, FAC seemed to quite self-consciously adopt an approach of working 'independently' in Ethiopia on graduation issues through its research. Unlike the work on Seeds, for example (see IS 8 below), FAC has no embedded local partner working on social protection in Ethiopia: arguably this has limited the scope for the research to have tangible influence on policy and practice. Arguably it might have been more effective to work more collaboratively with others from the outset. The collaboration with CARE seems to have fizzled out, perhaps because of changes in personnel or possibly because of USAID/ CARE having a stronger relationship with other researchers: tensions over the study commissioned by CARE may also have contributed to this.

Thirdly, networking and research dissemination seems to have been less active on this compared to other FAC themes in Ethiopia. Operational challenges related to changes in personnel and leadership in the FAC G&SP research team may also have contributed to delays in research publication and lack follow up on dissemination and policy processes. No major dissemination or policy dialogue events related to social protection have been supported or convened by FAC in country.[186]

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http://www.ids.ac.uk/graduationconference

http://www.ids.ac.uk/idsresearch/centre-for-social-protection

[185] Key Informant Interview with FAC researcher

[186] It must be noted that large events are not necessarily the way to go, but it is a contrast with the work on seeds and pastoralism, where conferences have made FAC work quite visible.

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[This case study has had names removed to preserve participant confidentiality]

Impact Story 8 - Adoption of an Integrated and Inclusive Seed System and Supportive Enabling Environment in Ethiopia

Author: Sally Baden

Executive summary

In 2009, Ethiopia's cereal seed system was based on central planning with no recognition of informal seed systems or of the role of markets in seed distribution. However, this system was not functioning effectively, such that farmers were unable to access the quality seed they needed. FAC's work on seeds in Ethiopia has contributed significantly to the decentralisation and liberalisation of the cereal seed system in the country. Key changes have included: the establishment of regional seed companies; the successful piloting of direct seed marketing to farmers; the development of independent regulatory authorities; and the adoption of a new Seed Proclamation in 2013.

FAC's pioneering research on the political economy of the cereal seeds system in 2010 was a timely and distinct contribution to the policy debate, in a context of grain seed shortage and endemic low productivity. In 2011, FAC supported an international workshop on seeds systems organised by the Ethiopian Institute of Agricultural Research (EIAR), which provided a forum for the main stakeholders in the country to share their existing knowledge, creating a shared 'evidence base' to inform new policy. FAC also brought experts from its wider network in Malawi, Kenya and Zimbabwe to share learning from their seed systems, highlighting key lessons for Ethiopia. The lead FAC researcher on seeds in Ethiopia, who is based in the EIAR, has been highly effective in networking and influencing policy processes informally - via direct engagement in discussions in the Agriculture Ministry, and numerous consultancy assignments. Most notably, he has been an adviser to the Integrated Seed System Development (ISSD) project run by Wageningen University's Centre for Development Innovation (CDI) and financed by the Dutch Government. This project has pioneered direct seed marketing in the four main regions of Ethiopia and is widely acknowledged as having the largest single influence on changes to cereal seed system. FAC has provided strategic support to the emergence of this programme in Ethiopia and is currently engaged in a wider partnership with CDI to scale up this programme in various African countries.

Description of the impact event

The impact event is the development of an integrated and inclusive cereal seed system as well as the creation of supportive enabling environment in Ethiopia that will enable farmers to access affordable cereal seed when they need it, influenced by FAC research and engagement on this issue.

Sources of information and methodology

The information for this impact event case study is taken from FAC internal documents, FAC/IDS publications, as well as external research and additional resources (see the list of sources below). The methodological approach employed is an adapted version of the Rapid Outcome Assessment (ROA); and key informant interviews were conducted with representatives of the Government of Ethiopia, NGOs, as well as FAC researchers and academics in the seed sector.

Starting policy environment and background

FAC work on the cereal seed system in Ethiopia started around 2009. At the time, the Bill and Melinda Gates Foundation (BMGF) was promoting the idea of 'new seeds for Africa,' including through support to the Alliance for a Green Revolution in Africa's (AGRA) Program for Africa's Seed Systems (PASS). Interactions with the groups working on this initiative, and on soils and fertiliser issues, led to the emergence of FAC's Science and Technology theme in 2009; and the work on the political economy of seeds under this theme.

Although, since 2000, the existing seeds policy in Ethiopia[187] was not constraining as such, in practice, seed production and distribution was driven by central planning through the formal sector, with no recognition of less formal production and distribution mechanisms at local level. NGOs in Ethiopia have long been active in distributing seeds, and since 2000, Self Help Africa has pioneered supporting farmers to produce and exchange their own seed informally and, later, to produce basic seed for wider distribution. The Ethiopian Institute of Agricultural Research (EIAR) had sole responsibility for producing source- and early generation- seed. There was only one publicly owned seed enterprise - the Ethiopian Seed Enterprise (ESE) - and one well established private multinational, Pioneer, operating in the country, focusing on hybrid maize. Cereal seed production and distribution was decided via a 3-person committee sitting in EIAR. The result was that the country was facing a chronic shortage of quality seeds for cereals production: farmers were not getting the amount of quality seed they needed and there was no accountability of this public distribution system.

Meanwhile, the Government of Ethiopia was developing the Agricultural Growth Programme (AGP) and wider Growth and Transformation Programme (GTP) with a strong emphasis on the promotion of agricultural productivity. Achieving these programmes clearly required some kind of change, but GFDRE was fearful of allowing the market to regulate cereal seed availability and hostile to the idea of 'agro-dealers' being promoted by AGRA and others. In 2009, around the same time as GTP was being developed, the Government adopted a 'Crash Programme' to attempt to accelerate production of seeds. However, this initiative failed and was suspended in 2010, leaving a policy vacuum in the sector. In this context, the majority of actors – including seed companies, regional bureaux of agriculture, and of course farmers themselves – favoured at least a degree of market liberalisation.

In 2009 the Centre for Development Innovation (CDI) at Wageningen University, which had been working to support the development of local seed businesses for some years, developed a concept note for an Integrated Seed System Development (ISSD) programme.[188] The concept note was shared with the Ministry of Agriculture and Rural Development (MOARD) in Addis, with the backing of both the Food and Agriculture Organisation (FAO) and the Dutch Embassy. In spite of some opposition, the concept was eventually approved and the ISSD programme was launched in the four main regions, in collaboration with universities in each of these regions, and the Regional Agricultural Bureaux.

Boundary partners

Key actors relating to this impact event were:

Federal Ministry of Agriculture, various Directorates including:

- Directorate of Input Marketing, responsible for seed distribution;
- Directorate of Crop Production responsible for source seed;
- Directorate of Animal and Plant Health Regulation.

Also under the Ministry of Agriculture:

- Ethiopian Institute for Agricultural Research (EIAR) – in which a leading FAC researcher heads the Department of Agricultural Economics, Agricultural Extension and Gender;
- National committee on seed production and distribution – a three person committee deciding centrally on production and allocation of grain seeds, which meets in EIAR.

Government institutions at regional level:

- Regional Agricultural Bureaux (independent from federal level) including Regional Directors of Input marketing;

[187] National Seed Proclamation No. 206/2000. FAC, 2010: 9

[188] Nils Louwers and Walter De Boef, then at Wageningen University, developed the original ISSD concept (Louwaars and De Boef, 2012). This article cites IDS research on the political economy of seeds, though difficult to say whether or what degree of influence IDS' work had on the development of this concept.

- Regional Seed Laboratories;
- Regional agricultural research institutions, such as Oromiya Agricultural Research Institution and Southern Agricultural Research Institution.

National and regional seed enterprises:

- Most notably the Ethiopian Seed Enterprise (ESE) and, since 2009, regional public seed enterprises in Oromiya, Amhara, and Tigray;
- A small but growing number of private seed enterprises of which Pioneer is the only long established one; also Seed Corp, a Zimbabwean company.

Specific NGOs and programmes supporting the development of farmer-based, local seed systems:

- Self Help Africa, supporting the development of farmer seed producer cooperatives in Southern Region;
- ISSD programme in Ethiopia, piloting direct seed marketing in regions, part of wider Africa programme.

Organisations and agencies initiating and/or providing technical and financial support to these and similar programmes:

- Wageningen University CDI, founder of ISSD Africa, strongly supported by the Dutch Government;
- Dutch Ministry of Foreign Affairs;
- Gates Foundation mainly through its support to AGRA PASS programme and now to the ISSD Africa pilot;
- Ethiopian Agricultural Transformation Agency (ATA), later developed seeds programme (2011 onwards);
- USAID – funding AGRA programme on Scaling Seed Technologies (2013);
- FAO – providing technical assistance/ backing to seed law revision;
- Japan International Cooperation Agency (JICA) – supporting its own seed project;
- African Union Commission, African Seed and Bio-Technology Programme (ASBTP).

Timeline

FAC's work on seeds in Ethiopia was initiated as part of a five-country research project in 2009. The project aimed to *'test the hypothesis that contrasting politics and different configurations of interests will make a difference to the way cereal seed systems operate and how a 'new green revolution' push in envisaged and ultimately plays out'* [189] Although country specific objectives for policy change or strengthening were not, apparently, defined at the outset, some key policy change implications have emerged from the research. The timeline below outlines the key FAC activities and outputs on this issue and also related external policy or behaviour changes.

When	FAC activity/ output	External policy/ behaviour changes
2007 onwards:		Private companies start to enter the sector but face many challenges.
2009:	Lead researcher starts work with FAC	Crash Seed Multiplication programme (CSMP) launched in response to seed shortage, stopped by 2010.
		Regional seed companies established by RABs to address seed shortages, posing a challenge for ESE, which loses market in regions.

[189] http://www.future-agricultures.org/research/science-technology-and-innovation/581-political-economy-of-cereal-seed-systems-in-africa#.U_k8q1bYk2w [accessed 23.8.14]

July 2009-April 10:	Lead FAC researcher conducts initial research on Ethiopian seed system as part of 5-country project funded through FAC to explore the political economy of cereal seed systems (others were Kenya, Malawi, Ghana and Zimbabwe)	
August 2010	Publication of Working paper 17 on political economy of seed system.	
2010		Through ISSD, seed sector platforms are organised in each of the regions. ISSD begin pilot of Direct Marketing in 4 *woredas* each of 4 regions. Late 2010: government started work on revisions to 2000 Seed Proclamation. Farmers respond positively to direct marketing; begin to discriminate more on seed quality, demand better quality
2010/11		Government licensed three private companies to produce basic seeds using government source seed. By 2012 enough basic seed available.
2011		ATA established and develops a seed strategy, in 2013; in June 2014, this was being endorsed by MOARD.
June 2011	International Workshop on 'Sustainable Seed Systems in Ethiopia: Challenges and Opportunities', hosted by the EIAR, Addis Ababa brought together 90 participants including the main players in the Ethiopian seed system as well as researchers from other countries in the region.[190]	
April –Dec 2011	Lead FAC researcher conducts research on Farmer Based Seed Multiplication (FSBM)	
Oct – Dec 2011	Lead FAC researcher participated in the design of the 5-year national seed sector development roadmap with the Agricultural Transformation Agency (ATA)	
December 2011	Publication of FAC working paper no. 36 on FBSM assessing efforts of various NGOs to develop this system, the challenges and learning from this to inform future policy.	
2011-12	Preparation and subsequent publication of book on Ethiopian seed	Self Help Africa – starts Early generation seed project – and

[190] http://www.future-agricultures.org/science-technology-and-innovation/7594-fac-contributes-to-international-conference-on-sustainable-seed-systems-in-ethiopia-1-3-june-2011#.U_k5sVbYk2w [accessed 23.8.14]

	system based on papers from the conference. There was a delay in publication due to political sensitivity of certain material. However, the book was already available in electronic form via FAC website from late 2011 onwards.	formation of Edget Farmers Union in Southern Region gains validation for idea of Farmer Seed Enterprise in June 2012.
2012		Government endorses piloting of direct seed marketing: a Letter from Minister of Agriculture sent to regional bureaux proposing all have to do direct marketing in target *woredas*.
2012 onwards		Regions establishing independent regulatory authorities.
Feb 2013		Seed Proclamation adopted. As at June 2014, implementation guidelines were being developed but were not yet approved.
Feb 2014		CDI launch of ISSD Africa comprehensive pilot programme.
March 2014	Lead FAC researcher participated in the design of Community-Based Seed Production (CBSP) programme of ATA (in individual capacity).	
2014:		Federal government is proposing setting up new Federal regulatory body, based in Ministry. Revision of Ethiopian plant variety protection law to allow for access and benefit sharing.[191]

Although since 2012 there have been no further FAC publications or formal activities on seeds in Ethiopia, the FAC lead researcher on this issue has engaged in various consultancies and consultation processes related to the new seed proclamation and related policies and programmes, noted above. Some of these assignments and engagements are related to his FAC research publications. For example, the researcher has been engaged by the Agricultural Transformation Agency (ATA) to design their Community Based Seed Programme Strategy, in his view because of the earlier work he did for FAC on farmer based seed systems (Working Paper 36).

Meanwhile, at a broader level, FAC has developed a formal relationship with CDI as part of a new comprehensive Africa wide ISSD initiative, launched in February 2014 with the support of the Gates Foundation and the Dutch government and with the backing of the African Union Commission (AUC). The same leading FAC researcher has been a member of the design team for this programme since July 2013. In April 2013 FAC participated in a meeting on the African Seed System in Ghana organised by the African Union Commission (AUC) and Wageningen University and the Research centre, financially supported by the Government of the Netherlands, which endorsed the ISSD approach and new programme.

FAC is a member of the executive coordination (along with Tegemeo Institute which hosts FAC's East Africa Regional Hub in Nairobi). This pilot programme aims, among other things, to promote evidence based seed sector innovation and the development of an Africa wide learning and innovation network.

[191] Date not clear.

This programme is funded for period May 2014-April 2016 with the idea of launching a 5-year phase at the end of this period.[192]

Contribution of external factors and of FAC to behaviour changes

A major push factor for changes to the Ethiopian seed system was the evident failure of the existing system, as evidenced by the shortage of quality seed and low grain productivity levels. This was clearly a major blockage to Government plans for agricultural and broader economic development under AGP and GTP, which are strongly focused on increased agricultural productivity and improved food security. Consequently, the Government of Ethiopia was actively seeking a change, but was very nervous due to (a) the strategic nature of grain production for the country's food security and (b) inherent suspicion of the private sector and fear of ceding control of the seed system to the market.

A lot of the changes at federal level have been catalysed by changes in the regions, linked to the ISSD pilot programme, which started formally in January 2010, funded by the Dutch government. The ISSD initiative is recognised by all actors, including the Government of Ethiopia policy makers, as probably the biggest single influence on the changes in the seed system. Through its work in the regions and with a range of stakeholders, ISSD is seen as having enabled: the establishment of regional seed enterprises (from 2009 onwards); the setting up of independent regulatory authorities in the regions (2012 onwards); and most critically, direct seed marketing to farmers. The ISSD pilot programme and its success in the regions with farmers, RAB and regional seed companies has been the biggest influence because it has provided evidence that direct marketing can work in practice. This evidence, based on practice, seems critical to informing change in policy in Ethiopia.

Another influence on the seed system has been of the private sector and multinationals from Europe (Netherlands, Germany) interested in penetrating the Ethiopian market. There has been a significant push, supported by some donors including the Dutch, to revise the Plant Varieties Protection Law in order to provide stronger protection for companies wishing to enter the Ethiopian market. The Government of Ethiopia is promoting the horticultural sector and also wants to encourage companies to enter with new seed varieties.

FAC influences on change in the seed system, direct as well as indirect, came in various ways:

- **Through research on the political economy** of the cereal seed system in 2009-10 which identified key challenges of the policy context and ways forward in terms of decentralisation and the policy environment;
- **Through documenting and making visible the informal seed system** – farmer based seed multiplication, via research carried out in 2010-11;
- **Through dissemination of policy ideas via publications** which contributed to ideas about the decentralisation of the seed system and wider processes of policy reform. These publications include the Working Paper on the political economy of the Seed System (2010) and the book on the Seed system (published 2011, distributed 2012) and the working paper on farmer based seed systems (2011). In these publications *'Challenges are clearly identified and ways to address challenges'.*[193]
- **Through the International Workshop on the Seed System**, held in 2011, which exposed government officials and other stakeholders to information on what was happening in other countries. The meeting delivered a 'painful message' to the government e.g. that farmers in Kenya can go anytime and purchase seed that they want, in contrast to the lack of availability of seed in Ethiopia. In the workshop, FAC (via the lead researcher in Ethiopia, as well as behind the scenes) played an important role in the framing of the debates in Ethiopia, convening stakeholders, bringing together and validating existing evidence from stakeholders in country, and bringing a comparative analysis to bear on the Ethiopian experience, to draw out policy implications..

[192] ISSD Africa 2014
[193] Key Informant Interview

- **Though direct engagement in stakeholder meetings and informal discussions** about the revision of the Seed policy, including comments on its drafts. The revised Seed Proclamation was recently adopted, recognising both formal and informal seed systems and private as well as public involvement; and leaving the door open for 'direct marketing'. The implementation guidelines for the policy were being developed at the time of this evaluation in June 2014.

In the case of seeds work in Ethiopia, there has been an effective combination of high quality research and dissemination (early in the process), and networking, backed up and informed by continuous direct engagement in policy and programmatic processes, both formal and informal. Additionally, FAC has gained influence through partnerships with INGOs and other programme initiatives, e.g: the lead FAC researcher's involvement in the stakeholder forum of ISSD and as a consultant both to ISSD and Self Help Africa. The link with the ISSD programme in particular has been key to FAC's influence in this area.

Indirect influences also came through the lead FAC researcher's insider engagement and influence in policy discussions in the Agriculture Ministry (via weekly "Command post" meetings), his consultancy assignments and participation in stakeholder consultations, and informal discussions with other key actors. He also worked as a consultant on seed issues with ATA (design of their community seed programme - 2014), and USAID (work on certification systems – 2012-13) amongst others.

At a broader level, FAC has contributed to the emergence of the Comprehensive ISSD Africa pilot programme led by CDI Wageningen, whose representative stated that to develop this initiative they '*Need[ed] FAC … because of [their understanding of] CAADP agenda. We really want to develop a closer relationship with them.*'[194] This programme is now backed by the AU which formally supported the ISSD approach at a meeting in Ghana in June 2013, also attended by FAC.

Main findings

FAC's work on seeds in Ethiopia has made a significant contribution to influencing the development of the seed policy and wider seed system in the country, towards a more decentralised and liberalized system, which recognises both private and public actors, and informal as well as formal actors.

There has been effective and wide dissemination of two key pieces of research nationally and internationally; a major international workshop which engaged a large number of stakeholders and brought together a body of evidence to inform future policy making on the seed sector in Ethiopia. FAC's capacity to make linkages with work in other countries also brought comparative experience to the attention of policy makers in Ethiopia.

The focus on the political economy of the seed system was very timely and filled a gap not being addressed by others, in a context where government was looking for solutions to a major challenge of grain seed shortage and low productivity. The work on this theme in Ethiopia is a good example of effective application of a political economy approach to a specific policy gap or challenge, and perhaps points to a way forward for FAC.

FAC has leveraged important influence from relatively limited resources via effective networking and partnerships. The FAC lead researcher has been very effective in collaborating with other actors in the seeds sector, at a number of levels, from NGOs working with farmer organisations, to senior level policy makers in federal government. Links have also been developed with wider African institutions and internationally, mainly by the theme convenor, but increasingly also involving the FAC seeds researcher from Ethiopia. FAC's involvement as a partner in the new Comprehensive ISSD pilot programme is one major "unintended" outcome from the work to date.[195]

The influencing model has been indirect as well as direct, supporting the broader and deeper influence of the ISSD programme. The changes to policy and practice described above would not have come about through FAC's influence alone: identifying a strategic partner with the legitimacy

[194] Key Informant Interview
[195] This outcome is not, however, a sole result of the Ethiopia work, since seeds work also happened in four other countries and globally.

and capacity to directly influence wider policy processes has paid dividends. FAC has played an important role in supporting the efforts of the ISSD and the different actors associated with this to understand the 'big picture,' the interests of different actors, and how to make change happen in a complex policy environment. FAC's analysis has also helped the Dutch funded programme overcome challenges and move beyond its focus on local seed systems to a more strategic level. The wider vision and experience of FAC's Theme Convenor with AU and CAADP institutions, and FAC's scope of work across several countries, has also supported the development of the current ISSD Africa partnership.

FAC worked closely with other organisations (notably Self Help Africa) in developing analysis and tools to support farmer led and community based seed systems. Learning from these pioneering efforts is now being scaled up in wider initiatives and the lead FAC researcher is also centrally engaged in these processes, for example in his work on the Community Seed programme for the Agricultural Transformation Agency (ATA).

IDS and FAC Ethiopia research on the political economy of seeds (in general and in relation to Ethiopia) and its wide dissemination through IDS bulletin and other papers on the FAC website, has been a catalyst to the development of these partnerships, CDI Wageningen notably. For CDI, the political economy of seeds paper was '*instrumental in shaping their thinking around ISSD and political economy of seeds.*' This paper was '*what made them decide to partner with FAC*'. The political economy approach adopted by FAC underlies the appeal of this work to actors working on the ground, wanting to scale up their efforts and influence wider institutions and processes.

The lead FAC researcher's position as a senior researcher at EIAR has positioned him very well to engage both formally and informally with government stakeholders – up to director level. This position also gives him a strategic oversight of the seed system and its challenges. He has regular contact with such policy makers and expresses his views on key policy issues directly. Both his institutional position and his personal qualities have been critical to the credibility and relevance of the FAC Ethiopia seeds research and its success in gaining traction in policy processes and shaping programmatic interventions. His qualities as an individual researcher and his capacities in networking, and collaboration particularly, have also contributed to the success of the work.

In addition, as a result of the 'capacity building' he has received through his engagement with FAC, including intensive mentoring and peer review processes, he has been introduced to and integrated a political economy approach to his research and gained insights into experiences of other countries, as well as feedback from his peers in those countries. He has also gained an international profile via his publications on the FAC website, which has contributed to his recognition as a leading specialist on these issues.

Value for money is difficult to quantify, but it is likely to be high, given limited spend on a couple of pieces of research, co-funding a conference and related dissemination activities. The main 'activity' otherwise, has been the on-going engagement of the FAC research lead in policy discussions and stakeholder processes at different levels. Other resources were leveraged for the Seeds Workshop (from Wageningen and the Japanese International Cooperative Agency (JICA)).

The main weakness of the approach on seeds in Ethiopia is in capacity building, since there does not seem to have been significant investment in the development of a wider cadre of researchers to take up this ongoing work or ensure its continuity. The FAC thematic work on seeds in Ethiopia has been, and remains, highly reliant on one key individual, which is both risky and unsustainable, particularly as this individual takes on more responsibilities in other areas.

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APPENDIX 9: ACHIEVEMENT AGAINST LOGFRAME TARGETS

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Output achievement against targets

Phase	Output	Indicator	Target	Actual	Result
2008-2010	1. Clear options for policy improvements across four thematic areas	Specific proposals for policy projects in each thematic area developed, planned and undertaken	n/a	Annual reports/ semi-annual reports for FAC II report significant activity in core research areas. The MTRs (2007 and 2012) concluded that FAC had met/ exceeded output and activity targets within limited resources.	
		Policy recommendations relevant to each thematic area considered by key policy-makers at different levels.	n/a		
	2. Evidence base to support policy options compiled and made widely available.	Research findings documented and peer reviewed across four thematic areas, and available on website.	• 6 working papers, research reports, 12 policy briefs by end year 3 • 8 working papers and research reports and 18 FAC policy briefs end year 5	The output database shows that in the period *April 2008-March2011* (FAC II) the consortium produced a total of 27 working papers and research reports and 21 policy briefs. Combined with the other FAC outputs this shows extensive activity over the period.	
	3. Raised awareness of policy options and their evidence base amongst target audiences.	Dissemination of FAC outputs and participation of policy makers in FAC events.	• 50% increase in website use/ policy briefing/ working paper dissemination • Policy makers involvement in FAC events increases by 2010	FACs new website was launched in 2010 meaning it is not possible to confirm the increase in website use/ activity. However, based on pre-2010 estimates, the FAC website has seen considerable year on year increases in activity across the project lifetime. This is well in excess of Phase II targets. Annual reports/ semi-annual reports indicate extensive involvement of policy makers in FAC events (including workshops, policy dialogues, conferences etc).	
	4. FAC considered a valued partner by major stakeholders	Relationships established and involvement in Consortium activities extended to major stakeholders and other key policy actors by end year 3.	n/a	In this period FAC began to establish productive relationships with other major stakeholder – for example FARA, AGRA, FAO. Work was also done to establish relevant connections in AU/NEPAD with the aim of influencing CAADP processes over the subsequent funding period.	
		Funding partnerships with other donors established	n/a		

	5. Consortium effectively coordinated and managed.	Activities are planned and implemented and reported on in a timely fashion, led by African teams.	n/a	FAC II saw the introduction of FAC country coordinators in Ethiopia, Kenya and Malawi to manage in-country research and engagement activities, and the expansion of FACs thematic research activities.	
		Project finances monitored and reported on regularly by secretariat.	n/a	IDS Secretariat has a dedicated financial coordinator to provide timely information of FAC budgets and spend.	
		Longer term strategy for increasing African leadership of FAC developed for consideration by mid-term review.		Conceptual basis for FAC Africa began in 2009 with consultancy support to investigate the options for institutionalising FAC in Ethiopia.[196] The FAC Africa Commission was established in March 2010, tasked with leading a process of information gathering, consultation and decision making, so as to enable FAC to transfer to an Africa-based organisation by April 2013.[197]	
Evaluator comment 2008-2010 Logframe: FAC achieved quantitative output and activity targets for the period and appears to have been successful in engaging policy makers (as demonstrated through website activity and participation in events). This period also saw the beginnings of activity to shift FACs centre of gravity to Africa. While partnerships were established with key stakeholders (in line with logframe requirements), the lack of quantitative or measureable targets for this engagement process makes it problematic to assess FACs success in this regard (evidence from later years shows that engagement with CAADP was problematic for FAC throughout its lifetime.					
2010-2013	6. Policy options and their evidence base produced and communicated amongst target audience for core thematic areas and emerging	Research findings documented and reviewed across all thematic areas and available on the FAC website.	• 15 Policy Briefs; • 15 Working Papers • 6 Books/Journals/Major Reports • 9 Communiqués • 9 Hot Topics • 3 e-debate • 45 Presentations • 66% of Policy Briefs produced in French	• 59 Policy Briefs • 74 Working Papers • 11 Books/Journals/Major Reports[198] • 28 Hot Topics • 2 e-debate • 99 Presentations • 76% of Policy Briefs produced in French[199]	A++

[196] Chanyalew, D., Gebeyehu ,G., Semma Melesse, A. (2009) Ethiopia: Future Agricultures Consortium , Addis Ababa, Ethiopia

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[198] This figure includes 3 books and 8 journal special issues.

[199] Over the lifetime of FAC (from 2005 to March 2014) a total of 90 Policy Briefs were produced. Sixty eight of these (76% have been translated to French). Note: we have included 2013-14 figures with logframe 2010-13 analysis to allow for a time lag in the translation of policy briefs to French.

	themes	Number of FAC events that engage policy makers and other key stakeholders (e.g., civil society leaders, farmer representatives, donors) on policy options and research evidence.	• 3 international conferences held • FAC participation in 12 high-level policy fora • 30 FAC policy dialogues held	• 20 international conferences held • FAC participation in 18 high-level policy fora • 28 policy dialogues held	
		Range of evidence produced reaching to different audiences as measured by publication downloads from website Numbers of publications with new policy knowledge reflecting gender analysis in sustainable agricultural research	• Total downloads increase to hit target of 30% increase above baseline of 1,840 (est) • 40% of all FAC publications have an explicit gender dimension	• Downloads inc. policy briefs, working papers, discussion papers, research papers, communiqués, research updates and occasional papers = 249,791 (13,847% above target)[200]. All downloads= 748,492.	
	7. Capacity of junior African researchers in generating quality policy relevant research and using this to influence policy processes strengthened.	Number of FAC fellowships for original research on African agriculture completed	8 completed of which at least 2 are women.	• 31 Early Career Fellowships awarded 2010-13. Of these 25 were to Africa based students (9 FT; 16 PT) and 6 were UK based students • 16 ECF's (52%) to female students. This exceeds gender balance targets • All FAC research themes (except CBAA and gender (cross-cutting theme)) are represented.	A+
		Number of FAC Fieldwork scholarships completed on FAC field projects	20 fieldwork scholarships (including at least 5 women) spread across FAC research themes	In addition to ECF programme, FAC provided fieldwork scholarships in three areas: • Collaborative Masters of Agricultural and Applied Economics (CMAAE) Competitive Fieldwork Scholarships, • Land Deal Politics Competitive Grants (42 Grants (50% to female students) • Youth and Agriculture Competitive Grants (12 Grants (33% to female students).	

[200] Downloads figures are cumulative from September 2010 (when new FAC website became operational) – February 2013

		Number of African scholars using research findings and publications in their postgraduate studies	40 CMAAE dissertations making use of FAC research findings	The PCR notes that communications with CMAAE posed challenges to FAC and that data was not available to report on this indicator. FAC are continuing engagement to access the information requested.	
	8. Consortium effectively managed and transitions to an African base and sustainable funding.	Strategy for Consortium ensure a) shift to African leadership b) mechanisms for stakeholder voices in governance arrangements	FAC Africa established with new governance arrangements and funding.	Transition Team established mid-2012 to support development and implementation of the FAC-Africa regionalisation strategy.	A
		Funding partnerships developed with other donors.	Funding partnerships for support beyond 2013 established at donor roundtable at same level as annual funding (approx £1.5m).	FAC secured of over £2.5m additional funding in the period to March 2013.	
		Management and research of Consortium reflects agreed gender and social inclusion approach and strategy.	• FAC research mainstreams gender equity and social inclusion principle • FAC events target minimum of 25% of female participants • 25% FAC researchers, fellows and studentships are women	• FACs gender theme was formally established in 2010. • Gender disaggregated data was not routinely collected at events/ conferences. However, data for major events (detailed in the PCR) noted participation of women of around 34%. • Good representation of women among fellows and studentships and the FAC International Advisory Council. Further the only full time FAC post is filled by a woman and two of the four Africa-based Hub Coordinators are female.	

Evaluator comment 2010-2013 Logframe:

Output 1: FAC significantly exceeded targets on production of evidence and policy options. The only Output targets from the 2010-13 logframe that were not achieved were in relation to e-debates and policy dialogues. However, it is noted that FAC overachieved on equivalent targets for social media activities in relation to hot-topics and blogs and participation in high-level policy fora.

As suspected in the PCR, analysis of outputs by theme shows that outputs are not evenly distributed. The Land and Tenure, Growth and Social Protection and Science, Technology and Innovation thematic areas were most productive in terms of simple output metrics.

It is clear that there has been a high level of interest in FAC publications as demonstrated by the large number of website downloads. However, targets to increase downloads by 30% seem largely meaningless given this huge observed increase; indeed this may be due to increased accessibility via the new FAC website (operational since 2010).

Output 2: Small grant programmes have successfully attracted high calibre junior researchers (including a significant proportion of Africa based and female researchers) and there is evidence that they have provided seed funding to support innovative field research. Research grants and support to junior researchers is considered a key success of the FAC programme.

Output 3: Three FAC-Africa regional hubs have been established and are operational, albeit that FACs central functions still reside with IDS and the transition has been slower than was perhaps desirable. While FAC successfully secured additional funding (including funding from elsewhere in DFID, ESRC and others) this was in support of specific projects and thematic research rather that support for core operational requirements. In terms of gender mainstreaming, while a formal cross-cutting gender theme was established in 2010 and there is considerable mention of gender in FAC outputs, the extent to which gender has been 'mainstreamed' in ways beyond these simplistic logframe targets is not conclusive.					
2013-2014	1. Policy options and their evidence base produced and communicated amongst target audiences for core thematic areas	Policy options and evidence base available across each thematic areas.	• 20 Policy Briefs • 6 Blogs • 3 Presentations (one major presentation to policy dialogues for each of 2 a-c) • 5 explicitly gender focused outputs • 75% of Policy Briefs produced in French	• 21 Policy Briefs • 3 event contributions to 2a; 5 event contributions to 2b; 7 event contributions 2c plus co-host AIGLA conference. • 8 explicitly gender focused outputs (4 Policy briefs, 1 working paper, 1 journal article & 2 blogs) • 76% of Policy Briefs produced in French	
		A demand led communication / uptake strategy developed and reported against	• Communications indicators for each thematic research area developed as part of annual work plan and linked to particular audience • 4 events • 200 people attending workshops; at least 25% women		
	2. Comparative Analyses of Trends and Changes in Five Emerging Themes undertaken and communicated	Research findings documented and reviewed and disseminated to target audience across each thematic areas.	• 1 Policy Briefs • 5 Blogs • 3 Working Papers • 5 Presentations (1 major for each theme)	• 8 Policy Briefs (plus 2 further if time and resource allow) • 1 Blog • 4 Working Papers (one based on synthesis of 3 country reports) • 1 special edition IDS Bulletin • Presentations/ workshops and contributions to events across all themes (with exception of Theme 3: Pathways to improved irrigation performance.	
	3. FAC Africa network structures in place for supporting	Funding contributions by donors (other than DFID) increase	Total investment from other donors increased from 6% non DFID funding to 50% non-DFID funding	£2,434,000 project related funding secured from ESRC; Irish Aid EUR37000; Gates Foundation $2million pending. Other donors and orgs (inc. CIDA/IDRC, Irish Aid, Gates Foundation, Norad, SIDA) approached.	

	CAADP and New Alliance processes	Lessons from the development and impact of FAC communicated to key stakeholders in 2014	FAC Lesson Learning Conference held	FAC learning event was considered in for April 2014 and London Policy Dialogue for June 2014.	
		Demand for FAC products increased among target online audience from baseline: Visits: 93,559 Unique visitors: 60,633 Downloads: 302,125 Of these: - *Policy Briefs: 25,791* - *Working Papers: 43,465* - *Research Papers: 4,997* - *Journal special issues: 1,428* - *Others: 202,890*	Total downloads increased 10% by March 2014	Visits: 177,739 Unique visitors: 65,937 Downloads: 750,316 Of these: - *Policy Briefs: 78,132* - *Working Papers: 114, 274* - *Research Papers: 25,598* - *Journal special issues: 6,234* - *Others: 526, 078*	
		FAC established three partnerships	Three partnerships established with NA partners around Output 2 activity areas	Wide range of partnerships established. All Output 2 activity areas, except Theme 1: Changing patterns of agricultural growth and investment are covered.	
	4. Process for understanding the impacts of agriculture policy research developed and undertaken.	FAC Evaluation completed	Evaluation Report Produced Evaluation session designed and delivered at FAC Lesson Learning Conference	Due September 2014	
Evaluator comment 2013-2014 Logframe: FAC once again met/ exceeded the majority of output and activity targets. Activity does not however appear evenly spread across research themes and, while impressive download and engagement figures may be an indicator of FACs influence, it is not possible to comment on the translation of outputs to outcomes/ impacts from logframe analysis alone. Uncertainty over FAC funding may have resulted in delays to some activities, for example the London Policy Dialogue event. FAC has successfully achieved targets for leveraging additional funding in this period (with further conversations ongoing with potential funders). Core funding for Secretariat and regional hubs, communications, networking and CAADP engagement is still lacking making the sustainability of the FAC network uncertain post-DFID core funding.					

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