

Mid-Term Review  
of  
IESE's Strategic Plan 2012 - 2015

Final Report  
April 2014

Ben van Baren & Narciso Matos

## Table of Contents

Executive Summary .....	4
1 Introduction .....	8
1.1 The review .....	8
2 Institutional development .....	11
2.1 Structure .....	11
2.2 Management .....	12
2.3 Capacity development .....	16
2.4 Gender .....	18
2.5 Sustainability .....	18
2.5.1 Financial .....	18
2.5.2 Human capacity .....	21
2.6 IESE's cost efficiency .....	22
2.7 Assessing IESE's performance against similar research organizations in the region.....	23
3 Relevance and Quality of scientific activities .....	25
3.1 Introduction .....	25
3.2 Relevance .....	26
3.3 Accessibility of IESE's results .....	28
3.4 Quality .....	29
4 Role and impact (outcome) of IESE .....	31
4.1 IESE and other research institutes .....	31
4.2 Creating and Stimulating Public Debate .....	32
4.3 Enhancing research and research capacity .....	32
4.6 Source of information and insights .....	33
4.7 Defining outcome and impact .....	33
4.9 Improving communication .....	34
5 Challenges ahead .....	35
6 Conclusions and recommendations .....	37
6.1 Conclusions .....	37
6.2 Recommendations .....	39

Annex 1	Terms of Reference.....	44
Annex 2	Programme .....	50
Annex 3	Cost estimate for renting or building premises .....	52

## Executive Summary

IESE is an independent research institute with as activities quality research and dissemination of research. *Research areas* IESE carries out research on few carefully selected themes, namely on Economy and Development, Poverty and Social Protection, and Citizenship and Governance. A new theme, though at initial stages, is taking shape on Emerging Powers. IESE was established in 2007 and started functioning in April 2008 with 2 researchers. It has grown rapidly and presently staff is composed of 11 researchers, 7 assistant researchers and 6 support staff.

IESE is presently funded through the embassies of Denmark, Ireland, Switzerland and Finland and through IBIS, a Swedish development fund, who pledge their contributions in a common fund that IESE can use to finance its functioning. The annual available budget has gradually increased from about US\$ 500,000 in the initial year to about US\$ 2,000,000 presently. The common fund allows IESE to establish and realize its research agenda and to do independent research.

The review follows the themes as defined in the Terms of Reference and starts with a discussion on IESE's institutional development followed by chapters on relevance and quality of scientific activities and the role and impact of IESE. We finish with a chapter on the challenges ahead and give the conclusions and recommendations.

### *Institutional development*

The governance system of IESE is composed of the General Assembly with internal and external members, the Scientific Committee composed of IESE's staff members with a PhD degree, the Administrative Committee chaired by IESE's director and with the Administrative and Scientific Deputy Directors as members, the Finance Committee (Conselho fiscal) with two external members and the Strategy Committee (Conselho de Orientação), presently not operational. In none of the organs there is discussion on long term and strategic decisions and we propose to activate the Strategic Committee that was foreseen in the statutes but that has not been installed. This Committee should function with as members leading and respected citizens and researches, with an advisory role to the General Assembly and no decision making powers.

IESE has been growing fast and has to make the transfer from a small organization where management can be informal and communication is self-evident, to an organization that needs stricter management methods and rules and properly functioning communication mechanisms. Over the past period IESE has been working on the introduction of e.g. improved planning and reporting systems and the updating of manuals for administrative and financial procedures. The process has been slow, partly also due to lacking experience in the organization. The review team also observed that focus is very much on IESE's primary processes and that the support functions are too weakly developed, qualitatively and quantitatively. We recommend to give priority to the implementation of the management systems, to contract external expertise to speed up and improve the process and to make the post of Deputy Director for Resources, Administration and Finance full time. Consultations and decisions of meetings are poorly followed up. One should strive for higher effectiveness and efficiency of meetings, the Deputy Director for Resources should be

responsible for monitoring the implementation of the decisions made and of enforcing the compliance with deadlines. IESE furthermore needs, along with the existing development strategy, an integrated 3-5 years' plan for research programmes and support activities (administration, finance, IT, communication, and documentation). This plan should indicate the needs in human resources, financial resources, infrastructure and working facilities. It will help to give more focus to IESE's development process and support and direct decision making.

Creating a strong research institute in Mozambique that does not have a research tradition is a big challenge. Given the circumstances IESE's approach for capacity development is adequate and one should be aware that in spite of this there is still a long way ahead until this goal will be achieved.

Financial sustainability is of utter importance for IESE and the present way of financing, with a limited number of financial partners is vulnerable. There is therefore an urgent need to limit vulnerability, first of all by valuing the relations with the present partners and also by extending and diversifying IESE's funding sources. Options for diversifying are to raise interest in funding with other potential financial partners in Mozambique and to identify and approach international funds that have the objective of funding research. IESE should develop a plan for the acquisition of funding. The acquisition of funding should have permanent attention and its follow up should be the responsibility of the Deputy Director for Resources, Administration and Finance in a supportive role for IESE's Director.

IESE's conditions for staff retention are sufficient with adequate salary levels as compared to those in other organizations where staff with its competencies could be employed, the content of the work is attractive for those interested in carrying out research and there are possibilities for professional growth. Furthermore secondary conditions like working atmosphere, degree of responsibility given and flexibility are good. In spite of this 4 researchers left out of the 20 that were and are employed by IESE since it came into being. Although it is a loss of course it is certainly not dramatic. The fact that staff leaves the organization has to be reckoned with and cannot be prevented.

The review team concludes that IESE produces good value for money because of its considerable output of evidence based research results that is among others influencing policy making, has contributed to the adaptation of legislation and regulation of the extractive industry and mega projects, is a source of important and relevant information to national and international organizations and is giving an important contribution to stimulating and raising the level of public debate. IESE is furthermore contributing to the extension of good research capacity in the country.

#### *Relevance and Quality of scientific activities*

IESE carries out research on Economy and Development, Poverty and Social Protection, and Citizenship and Governance. A new theme, though at initial stages, is taking shape on Emerging Powers. Currently there are three established and one nascent research group.

Relevance and actuality of IESE's themes are demonstrated by the interest that they command from public and private, national and international users. Research findings are cited, sought after and referenced by embassies, The World Bank, The International Monetary Fund, government, parliament and civil society organizations, and are used for the specific purposes of these institutions for policy, advocacy and dialogue with stakeholders. The Central Bank, the Ministry for Planning and Development, The National Institute for Statistics and the National Tax Authority were cited as some of the most frequent users of IESE's results. IESE has been able to generate public debate, publications in the media and to contribute agenda items for parliament and government policy.

Current IESE publications are *Desafios*, published every year. It is written for private and public professionals, government officers, civil servants, policy makers, lawyers, private entrepreneurs, students, employees of NGOs and civil society organizations, embassies and development agencies personnel, and the public in general. *Cadernos* is an occasional specialized publication written for academic audiences. *Ideias* is an occasional publication that deals with current affairs, intended for the general public and used also by media professionals. IESE publishes books that deal more extensively with selected subjects.

IESE has chosen to give priority to national audiences and has devoted less time and effort to translating the publications into English and to publish in international peer reviewed journals. It gave priority to using the time and energy for putting IESE on the map of high quality and relevant research centres in Mozambique, and to select, recruit and train a new generation of research fellows.

Quality of IESE's work is judged as good in general, although not uniform, and at the level of the research carried out in research centres in Zimbabwe, Malawi and Tanzania. IESE is unique and pioneer in Mozambique in the ethics, rigor, and way it conducts research and publishes results. The down side of being unique is that there are no comparators and competitors in the country, which could contribute to peer-review and consistently push quality within IESE.

### *Role and impact of IESE*

IESE's research has impacted legislation, regulations and public awareness. Its publications are sought after by a growing number of readers and users. It has created and stimulated public awareness, attention and critical eyes towards public policy and engendered more diversity of opinions in radio, television and newspapers. It has stimulated research in other centres, including in government-sponsored centres. It enhances university teaching and training at the University Eduardo Mondlane Faculty of Arts and Social Sciences and Faculty of Economics, where its researchers teach and supervise students' dissertation theses. IESE is a source of information and insights for government and a variety of development partners, NGOs, CSOs and enterprises.

### *Challenges ahead*

IESE's biggest challenges are:

- The consolidation and building out its position as a centre respected for its quality research, active dissemination and promotion of public debate.
- The realization of a controlled transition from a small organization with mostly informal practices (adequate for a small-size organization), to a medium to large size professionally managed organization.
- Securing its financial sustainability by the diversification of its funding sources.

# 1 Introduction

## 1.1 The review

### *The Terms of Reference*

The Instituto de Estudos Sociais e Económicos (Institute for Social and Economic Studies, IESE) commissioned the mid-term review of its Development Strategy 2012 – 2015 from Mr Narciso Matos and Mr Ben van Baren. They carried out the review in the period March – April 2014.

The Terms of Reference indicate the following objectives and scope for the mid-term review:

“The overall goal of the evaluation is to assess IESE’s main strengths, weaknesses, opportunities and threats, to make recommendations that help IESE to consolidate its strengths, improve on its weaknesses, take advantage of opportunities and avoid the threats. The assessment should emphasise progress and change that occurred during the limited time frame of IESE’s activity and focus on learning and improvement.

The MTR should also assess IESE’s performance against international best practices, experiences and standards for similar research organizations in the Southern African region and beyond. The assessment of IESE against international standards, experiences and practices should help to contextualise IESE in broader contexts, to provide benchmarks for the future, as well as to provide the opportunity for IESE to learn from international experiences.

The MTR should focus on three main aspects, namely: (i) institutional development, including, amongst others, the quality of planning, the system of self-evaluation, the strategy for development of human resources and the long term sustainability; (ii) the quality and relevance of the scientific activities of the IESE, namely research, publications, debates and training; and (iii) the role and impact of IESE in the context of Mozambique” and formulates for each of the aspects a series of specific questions to which the review should respond. We refer to annex 1 for the complete terms of reference.

### *The methodology*

As a first step the evaluation team made a thorough analysis of the ToR and the documentation provided. With the results of the analysis evaluation questions and interview guides were developed. These were used during the interviews held with IESE’s direction and staff members, representatives of academic and financial partners, of government, of other research institutes in Mozambique and abroad and of the press. See annex 2 for the schedule of the interviews. Interviews were semi-structured and had an open character. This gave room to interviewees to address issues that were key to them and it also allowed to develop an exchange of ideas on the themes that were addressed and to search for causes of success, for more interesting perspectives and for deeper insights.

The team used an evaluation framework, a matrix linking questions to interviewees, and a



daily review of collected information to keep track of evaluation's progress, for spotting gaps and to identify areas that were interesting for deepening insights.

A debriefing meeting with all the important stakeholders served to communicate the preliminary findings and recommendations of the evaluation to the persons involved in the project, to verify findings and to discuss the adequateness and the feasibility of the recommendations.

The consultants would like to express their appreciation for the excellent arrangements and friendly welcome they received by the National and Operational Teams and for the willingness to provide the requested information and to discuss the issues that were brought up by the evaluators.

The consultants would like to express their appreciation for the excellent arrangements and friendly welcome they received by the leadership and staff of IESE and by all people interviewed, for the willingness to provide the requested information and to discuss the issues that were brought up by the evaluators.

The structure of the report follows the instruction of the ToR. The remainder of this chapter gives a short description of IESE, in chapter 2 we discuss the institutional development of IESE along the lines of its structure, management, capacity development and sustainability, chapter 3 deals with relevance and quality of IESE's scientific activities, chapter 4 describes IESE's role and the impact of its activities, chapter 5 indicates IESE's challenges ahead and in chapter 6 we give the conclusions and recommendations.

## *IESE*

IESE is an independent research institute aiming, as the mission statement in its 2012 – 2015 Development Strategy says, “to organize, undertake and promote high quality, interdisciplinary, pluralist, heterodox and relevant research into questions and problematics of the social, political and economic development of Mozambique and Southern Africa, or which are of relevance for Mozambique and Southern Africa, as well as to publish and disseminate the results of the research, the development of research training, and feeding a public debate that intervenes in matters of public policy and development options.”

IESE was established in 2007 and started functioning in April 2008 with 2 researchers. It has grown rapidly and presently research staff is composed of 11 researchers and 7 assistant researchers of whom 5 with a PhD degree, 6 with a Master's degree and 7 with a Licenciatura. There is a total of 6 support staff with functions in administration, ICT, documentation and secretariat.

Core activities of IESE are quality research and dissemination of research results with the research areas Economy and Development (E&D), Citizenship and Governance (C&G) and Population, Poverty and Social Protection (PPS). IESE disseminates its research results through:

- The publication of books. Twelve books have been published so far and 5 are in the pipeline. Among these is the annual edition of *Desafios*, a collection of articles on subjects related to IESE's research themes and with contributions from IESE staff

and associate researchers. Public's interest in Desafios is considerable and editions are rapidly sold out.

- The publication of the series IdeIAS, Informação sobre Desenvolvimento, Instituições e Análise Social, 2 pages evidence based reports on key social and economic issues. 63 IdeIAS have been published so far and they are broadly used by press, students, government departments and the public.
- The publication of Cadernos, scientific papers on researched subjects.
- The organization of conferences and seminars. IESE has organized 3 international conferences where at each occasion about 45 papers were presented by international and national scientists. IESE organized also 4 more modest thematic conferences.
- Organization of and participation in seminars, round tables, lectures, debates and interviews.

IESE is presently funded through the embassies of Denmark, Ireland, Switzerland and Finland and through IBIS, a Swedish development fund, who pledge their contributions in a common fund that IESE can use to finance its functioning. The annual available budget has gradually increased from about US\$ 500,000 in the initial year to about US\$ 2,000,000 presently. The common fund allows IESE to establish and realize its research agenda and to do independent research. There is no need to compete in the consultancy market, which would distract attention from IESE's core activities. Along with this IESE acquires additional funding for separate projects that are only accepted when fitting in the broader research programme.

## **2 Institutional development**

### **2.1 Structure**

According to IESE's statutes the governance system of IESE composed of the General Assembly or Assembleia Geral (AG) with ten members, partly IESE staff and partly external members, the Scientific Committee or Conselho Cientifico (CC) composed of IESE's staff members with a PhD degree, the Administrative Committee or Conselho de Direcção (CD), presently chaired by IESE's director and with the Administrative and Scientific Deputy Directors as members, the Monitoring Committee or Conselho Fiscal (CF) with two external members and the Strategic Committee or Conselho de Orientação (CO), presently not operational. The AG meets twice a year and approves the reports, plans and budgets, as well as the statutes and internal regulations of IESE. The CC coordinates research and is a consultative body that advises the CD on scientific matters. The CD is involved with the day-to-day management and is responsible for planning, budgeting, reporting, the recruitment and training of staff. The CF is the internal auditing mechanism that follows up the external audit and sees to it that the internal financial and administrative procedures are followed.

In analysing the minutes of meeting of the different organs and considering their composition the review team observes that there is an overlap of membership of the different organs, which is caused by the limited size of the organization. This is compounded by the fact that external members of the AG do not regularly participate in the meetings. It is furthermore observed that often the same issues are discussed in the different organs. The team also observes that in none of the organs there is discussion on long term and strategic decisions such as the need for the country for new lines of research and the long term development of IESE. The CO, that has never been installed, has in fact this function according to the statutes. It is there described as the entity responsible for "the definition and the overall strategic orientation of IESE".

IESE is located in premises that during the first years of its functioning were adequate. With the increase of staff and the extension of activities IESE has outgrown its current premises. For example, one room is shared by up to four researchers, the administrative functions are placed in a confined space, there is no room for additional researchers or for associate researchers, the documentation centre has no reading nor is there the possibility to open it for the public space and there is no adequate room for presentations and the reception of groups with a somewhat bigger size. IESE has inquired alternative options for premises. The rent presently paid is very low and if other office space would be rented the price per square meter would be two to three times as high. Building new premises, allowing growth of the organization in the future and with the possibility to initially rent out the extra space to tenants and to also avail the auditorium to external users gives a payback time between 9 and 13 years for the investment between 1 750 000 a 2 600 000 US\$ according to IESE's calculations. See annex 3. Assumptions made seem to be fair and the alternative looks promising at a first glance. We observe that the calculation does not mention the savings for IESE due to the rent that is not due any more. At the other hand no provisions have been made for maintenance and for personnel capacity especially for short term renting out of space. Another consideration are the efforts that IESE has to put in building new premises.

IESE should explore this better before continuing the realization of this alternative that seems the best under the condition that financing for the building can be found.

### ***Recommendations***

Activate the CO with as members leading and respected citizens and researches, with an advisory role to the Assembleia Geral and no decision making powers.

Define the roles of Assembleia Geral, Conselho Cientifico and Conselho de Direcção sharper and prevent superfluous discussions in their meetings.

Elaborate the alternatives for adequate office space more in depth and convince potential donors to finance the building, the alternative that most probably will be superior.

## **2.2 Management**

The management team of IESE is composed of the Director, the Scientific Deputy Director and the Deputy Director for Resources, Administration and Finance. This structure has been implemented to more evenly distributed responsibilities in the fast growing organization. Management is putting an effort in adapting the organization to the requirements that a bigger organization has. Were informal ways of organizing adequate for the very initial phase of IESE, now a more formalized approach is indicated. The team has taken a number of initiatives to make operations smoother and to get a better grip on the organization: the manual for administrative and financial procedures is being adapted, planning is being linked to budgeting, a system of personnel performance evaluation is piloted and a new format for reporting is being implemented. However, none of these systems is operational yet. For the manuals a first and important step has been made by making an inventory of the rules and procedures required for IESE and by drafting a first manual. This is awaiting the involvement of a specialist to formalize and finalize it. A good system for personnel performance evaluation is available and researchers have filled out the forms as required but the process is awaiting the discussion with the superiors.

The planning and budgeting practice is also in a development stage. The financial package Primavera which allows to link accounts to projects has been introduced in 2012. The planning system had evolved over time in a system of global activity planning by the research groups for the three research areas with rolling plans with a two years perspective for their different research projects. Planning was very global, indicating the activities without attributing specific timing and no specific budgets were allocated to the activities. Presently there is an effort going on to implement the system as defined in the Strategic Plan 2012 – 2015 (work back from expected result, introduction of cost centres, link overall planning to planning at individual level, allocate resources). Experience of the cycle for 2013 showed that budgeting was hampered by the lack of data on costs for e.g. field work, seminars and editing of books and administrative staff has provided these for the 2014 cycle. This year it turned out that the budget requirements for the planned activities were far superior to the available budget. Along with this research teams have difficulties in planning on an annual

basis. It is observed that after the loss of the administrator there is no experienced administrator in the organization. The Deputy Director for Resources, Administration and Finance and the present administrator have taken up their tasks with enthusiasm and devotion but they could not fall back on their experience and had to go forward in a process of intensive learning. Along with this it should be borne in mind that the intended changes are complex and that they require contributions and collaboration of the whole staff. They also have to go through a process of learning and getting acquainted to the idea that planning and budgeting is also their responsibility. These factors explain the slowness of the process. Training of staff and contracting external expertise at strategic moments will enhance the process. The consultant should not take over but facilitate and bring in specific experience and knowledge. This would also enhance the building up of IESE's internal capacity.

Reporting used to be more of an enumeration of the results of the past year. The present format foresees a comparison between planned and realized activities with an analysis of the causes of the deviations. Because only part of the research groups had applied the format duly the 2013 annual report does still not have the envisaged format. A practical problem met when composing the report is in compiling the data on results in terms of publications, organization and attendance of seminars, participation in workshops etcetera. It must be said that interviewees had different opinions on the work load of compiling the data for their participation in publications, seminars, interviews, etc. It varied between just inputting the data that had been kept along the reporting period to a cumbersome effort to collect everything. The review team thinks that a system of systematic data collection on activities, outputs, outcomes, challenges, and lessons learned would be helpful for reporting, monitoring and organizational learning purposes. The communication group should introduce and maintain the system and coordinate analysis of its contents and the preparation of IESE's reports. It would be the responsibility of the individual researchers to feed the system. Staff needs to be trained and should internalize consciousness of the importance of an institutional memory. It is the opinion of the review team that if reporting is organized and implemented in the envisaged way and with the support of a systematic data collecting system, it will not be overly burdening and time consuming. It should be borne in mind that reporting with reflection involved is not only an instrument to account to the partners but before all an important learning moment for staff and the organization as a whole.

The review team observes that there are a number of factors that contribute to the slow implementation of the envisaged methods and mechanisms. One should be aware that a smoothly running management cycle of planning, implementation, monitoring and reporting/reflection requires contributions of both researchers and administrative staff. Researchers should adequately plan and budget their projects and when implementing them they should not only monitor progress of their research as such but also monitor budget expiration and facilitate the financial department to obtain all information required for good financial management. Such a way of working is new for IESE researchers and training is needed for its implementation. Researchers should be trained and also make a mental shift in realizing that the management of their project is their responsibility, including the financial part and that financial administration is supporting them in a joint effort. Presently researchers at IESE are far from administrative and financial matters. This is felt to be the responsibility of administrative staff. A change in attitude has to be realised. Follow up of the financial data on project level and keeping the information up to date in order to adequately inform the project leaders on the spent and available budgets requires more qualitative and

quantitative capacity in the administration/financial department. Care should be taken that this will be available. For the researchers training in the essence of project management would be helpful, along with the training in planning and budgeting.

When strengthening an organization one should bear in mind that an organization has at the one hand its core processes, the reason for its existence, and at the other hand the support functions. IESE has two core or primary processes; carrying out research and producing research results as the first and as the second the dissemination of the research results. Support functions are administration and finance, communication, ICT and documentation. For good operation of an organization capacity and functioning at both levels is equally important. In the opinion of the review team IESE is very much focused on research and dissemination and not giving sufficient attention to the support functions. This can be understood from IESE's start with a small team of researchers and the consecutive rapid growth. It should also be mentioned that the balance has been negatively influenced by the fact that two communication staff members left and that the administrator passed away. Presently key support functions, those of Deputy Director for Resources, Administration and Finance and of Communication Officer are held by persons who are also involved in research. Given the importance of these functions in the organization with its present size and the tasks that have to be fulfilled in these areas this is not sufficient and functions should be full time. One of the tasks of the full time Deputy Director for Resources, Administration and Finance would be to implement the planning and reporting cycle with priority so that reporting for this year and planning for 2015 is carried out as intended.

With regard to longer term planning the review team has the opinion that such a plan is missing for the organization as a whole. There is a strategy for the development of IESE, but there is no plan that describes where IESE wants to go, say in the next 3-5 years, and in which way. The elaboration of such a plan will create a shared vision in the organization for the way it wants to go, for instance with regard to the composition of its staff, qualitatively and quantitatively, the organization of administration and finances, the development of communication, the kind of premises. This will set longer term goals for the organization and its staff and give direction to IESE's development. Therefore an integrated 3-5 years' plan should be worked out for research programmes and support activities (administration, finance, IT, communication, documentation), plan that should indicate the needs in human resources, financial resources, infrastructure and working facilities.

For an organization with the size and character of IESE good internal communication is essential. The organization has grown to a size where this should be formalized. IESE has the platforms for internal communication that have the potential to generate adequate internal communication. There are CD meetings for coordinating purposes and decision making on IESE's level, meetings of the CC for coordinating and decision making on research matters and the development of knowledge, scientific internal seminars for increasing quality of work and professionalism and progress meetings for all staff members for the exchange of information on research and support activities. The weakness is that some of these meetings are not regularly held. Reportedly the highly appreciated scientific internal seminars and the progress meetings for all staff members were interrupted. Concise records of the meetings should be made and kept in the proposed information system under the responsibility of the Communication Department.

Records of meetings show that consultations and decisions are poorly followed up and are often not enforced: issues keep returning, responsibilities are indicated but no deadlines are set, priorities like fund raising and strengthening communications are in the strategic plan but are not implemented with the priority they deserve given their urgency. IESE should put an effort in raising the effectiveness and efficiency of their meetings. The Deputy Director for Resources, Administration and Finance should be responsible for monitoring the implementation of the decisions made and of enforcing the compliance with deadlines.

### ***Recommendations***

Continue with urgency the process of developing a budgeted annual activity plan, implement and monitor implementation strictly, report on the performance in line with the new reporting format and learn lessons for the next planning cycle. Contract external expertise in a facilitating role, leaving the leading role to IESE staff, to improve quality and to speed up the process.

Train the researchers in planning/budgeting and in basic project management. The training should be adapted to the needs of IESE and organizing this should be the responsibility of the Deputy Director for Resources, Administration and Finance.

Implement the personnel performance assessment instrument. Some training of superiors in having assessment exchanges will facilitate the process and it would also boost the quality of the initiative.

Make sure that the manuals for administrative and financial procedures are urgently completed by a consultant and pay attention that they are adequately introduced in the organization. The Deputy Director for Resources, Administration and Finance should see to it that researchers and support staff strictly comply with the rules and regulations of the manuals.

Implement a system of systematic data collection on activities, outputs, outcomes, challenges, and lessons learned. The Communication department should introduce and maintain the system and coordinate analysis of its contents and the preparation of IESE's annual report.

Work out an integrated 3-5 years plan for research programmes and support activities (administration, finance, IT, communication, and documentation). The plan should indicate needs in human resources, financial resources, infrastructure and working facilities. Strategic use of external expertise to facilitate the process has to be considered. With strategic we mean that IESE has to remain the owner of the process and that the process is used for learning and creating a common vision within the organization.

Maintain the schedule for internal meetings duly, strive for effectiveness and efficiency in the meetings, make concise minutes of the meetings with deadlines and responsibilities for the implementation of decisions and keep them in the IESE information system to be set up by the communication department. The presidents of the different meetings have to see to it that decisions are implemented and deadlines kept. As a safeguard the Deputy Director for

Resources, Administration and Finance should be responsible for *monitoring* the implementation of the decisions made and of enforcing the compliance with deadlines.

Create a clearer structure for support functions with a leading role for the Deputy Director for Resources, Administration and Finance.

Make the positions of Deputy Director for Resources, Administration and Finance and Head of Communications full time functions.

## **2.3 Capacity development**

For IESE capacity development starts with the selection of Eduardo Mondlane University students who stand out at university. Staff members are lecturing at the University, which enables them to get an insight in the capacities and interests of their students. When selected the students work on the thesis for their licenciatura supervised by IESE staff. Students get some financial support, which allows them to completely dedicate themselves to their thesis, without having to do additional jobs. At the end IESE assesses whether they are sufficiently interested and talented to be contracted. Out of 12, 7 have been selected so far, including 4 women. After a couple of years of satisfactory functioning as assistant researchers they get the opportunity to attain a Master's degree abroad. In principle staff gets then in a next stage the opportunity to study for a PhD in a sandwich construction. This has not materialized so far.

When working within IESE junior staff are trained on the job within their research group. There is no rigorous development plan and quality and intensity of training are variable, depending on the coach. Due to an unbalanced distribution of junior researchers over the research groups, there is no sufficient capacity for coaching in especially the E&D group. A solution is sought by the collaboration with associate researchers. Assessment by junior staff who have been supported in this way by Dr Bridget O'Laughlin is positive. She systematically cooperates with the assistant researchers during research preparation and field work, where there is a daily discussion on findings and where assistants write their field notes. In working out the field work results she involves the assistants and supervises them.

Along with the training on the job there are the internal methodological seminars, in principle organized every two weeks, where ongoing research is presented and discussed. They are a very much appreciated tool for increasing professionalism and the quality of work. Along with these the assistant researchers are involved in specific courses like SPSS and language courses and IESE organizes training sessions for which it invites scholars from other countries.

Interesting for capacity development and advancing quality of publications is the idea to establish an editorial board, composed of renowned researchers. The idea has still to be implemented. One of the interviewees also mentioned the possibility to look for possibilities to more involve foreign PhD students who do their field work with support of IESE. They provide a good opportunity for learning for IESE assistant researchers.



The personnel performance assessment system is a tool that is very well fit for supporting the personal development of the researchers. Along with the assessment of task fulfilment there is the element of capacity development of the researcher. He or she indicates which knowledge and skills will be developed and in which way this will be done for the following year and progress will be assessed at the end of the year. Condition for IESE to support the individual plan is that it fits in the overall capacity development perspective of the organization. For this reason but above all things for the effectiveness and efficiency of IESE's capacity development process IESE should elaborate a medium term capacity development plan for the organization.

When reflecting on the imbalance between the three research groups and the challenges this creates with regard to critical mass and coaching capacity one could think of another way of organizing IESE. The research themes as such are there, each with their specialized leader. However, the programmes are composed of projects for which research teams are selected. Instead of thinking in three research groups consider IESE staff as a pool of researchers from which project members can be selected by the project leaders. For maintaining the balance this selection should be carried out by the triumvirate of the research theme leaders. Coaching should be the task of the project leader, the Scientific Deputy Director would support and coordinate this. Such an approach can solve the problem of the imbalance of the organization and it can also be expected that it makes it easier to get interdisciplinary research off the ground. This way of organizing IESE is in line with the idea that the Director expressed after the MTR debriefing meeting to use projects as the basis of organizing IESE's research.

When overseeing the capacity development approach of IESE and considering the environment in which IESE has to build up its capacity with deficient training institutions at tertiary level and a underdeveloped research tradition the review team is of the opinion that it is adequate with the remark that it can be improved to some extent as has been explained before. It is a given fact that training up to the level of a good senior researcher requires a big effort and takes a long time.

### ***Recommendations***

IESE's capacity development strategy is good and proven, it should be continued and documented.

The 3-5 years plan should discuss the future of the three present research groups and the possible need for additional research groups. Minimal size of a research group should be discussed because of critical mass, maximum size of each group should be seen in the perspective of a balanced composition of the organization. This should also be seen in the light of the discussion of the right size of IESE in the coming three to five years.

IESE should deal over time with the unbalanced number of researchers (and consequently imbalanced output) among the three mature research groups.

A capacity development plan for the next 3-5 years should be developed, including the contribution of external senior associate researchers.

Consider the possibility to no longer divide the researchers in the three research groups but to have a pool of researchers from which the teams for the different research projects are selected.

## 2.4 Gender

IESE does not have an explicit policy for gender equality but in the opinion of the review team gender equality is applied in practice.

	Male	Female	Remarks
Senior researchers	5		
Researchers	2	4	Including part time documentalist and communication specialist
Assistant researchers	4	3	
Support staff	3	3	Administration, IT, secretariat, receptionist, part time documentalist
Total researchers	11	7	
Total support staff	3	3	

When looking at the numbers above this does not show immediately but when we bear in mind that gender distribution between academics with an age above 45 is unequal as such, the predominance of male senior researchers can be understood.

Recruitment policy is geared at the selection of the best, without a preference for male or female candidates. Once within IESE male and female staff have the same possibilities, which is reflected in the post of Deputy Director for Resources, Administration and Finance held by a woman and by the composition of the group of students who went abroad for their Master's. Out of 5, 4 were female. In the day to day practice IESE is woman friendly which shows for instance in the flexibility in adapting time schedules when required for the care of children. For employees gender is not an issue and female staff feels that they are equally treated as men.

## 2.5 Sustainability

### 2.5.1 Financial

Since its coming about IESE has been supported by a total of 9 financial partners of whom 5 can be considered as core funders when looking at the amount of funding and its length: Denmark, DfID, Ireland, Switzerland and Finland. Of these DfID has stopped funding in 2013 but is reportedly considering to step in again. Norway has participated during the first four years and Sweden has supported in the first year and has contributed again in 2012 and

2013 through the IBIS fund. Ireland and Finland foresee that they will support IESE also in 2015, for the other partners this is under consideration.

Partner	2007	2008	2009	2010	2011	2012	2013	2014	2015
Sweden	\$35.000								
Norway	\$130.000	\$390.016	\$223.284	\$241.736					
Denmark	\$130.000	\$288.462	\$270.150	\$262.543	\$91.239	\$394.160	\$394.180		
DFID		\$53.426	\$462.102	\$256.435	\$195.348	\$36.836			
Ireland	\$176.900	\$305.520	\$0	\$243.280	\$284.840	\$326.625	\$320.500		
Switzrlnd	\$40.000	\$195.236	\$0	\$0	\$453.258	\$433.200	\$423.729		
Finland			\$372.749	\$414.521	\$487.550	\$617.354	\$660.000		
Ibis						\$198.974	\$217.772		
<b>Total</b>	<b>\$511.900</b>	<b>\$1.232.660</b>	<b>\$1.328.285</b>	<b>\$1.418.515</b>	<b>\$1.512.235</b>	<b>\$2.007.149</b>	<b>\$2.016.181</b>	<b>\$0</b>	<b>\$0</b>

The financial partners pledge their contributions in a common fund, which allows IESE flexibility in spending and it gives room for longer term planning of research lines and institutional development of the organization, a very important factor for a continuous stream of research products. As a representative of a financial partner said: "It shelters people from fashion". Funding of separate projects would lead to insecurity with regard to the availability of funds for consecutive steps. Over the years the total amount of the fund has risen from about US\$ 500.000 in 2007 to about \$ 2.000.000 in 2012 and 2013. For 2014 funding has been assured by Ireland and Finland under the condition of a positive financial audit and Switzerland is awaiting the annual activity report. Along with this IESE acquires some additional funding for separate projects that are only accepted when fitting in the broader research programme.

During the interviews the financial partners said that they are convinced of the relevance and importance of IESE's work that provides results of independent quality research and is as such essential for an evidence based discussion that is of utter importance for discussions and policy making at national and regional level. They stated that budget and sector support need an evidence based policy discussion for which IESE provides an essential input. This is the more important as IESE is the single institute in Mozambique providing this type of information. Financial partners are satisfied with the quality of the research outputs and consider them as an instrument for a more effective allocation of their funding to the country. Remark is that quality is not constant overall with publications that are not up to standard. They also appreciate that IESE is a reliable partner who is transparent in its reporting and whose external financial audits are always positive. Partners would appreciate when in reporting more attention would be given to the analysis of the impact of IESE's activities. The meetings twice a year where progress reports are discussed are considered fruitful but contacts could be more frequent than the two yearly formal occasions. More informal meetings where partners would be informed on ongoing issues would be appreciated as it would help them to improve the quality and the effectiveness of their presence in Mozambique.

Comment of some partners is that according to them IESE has no clear vision on how it could contribute to bringing about changes and acquire impact in the country and that this requires more attention. They furthermore stress the need for IESE to provide the public, along with the academic publications, with information that is shaped in such a way that it is accessible to a wider audience and that a bigger effort should be put in accessing other provinces than Maputo.

Overall the present financial partners are satisfied with IESE's role and performance, which is positive for the perspective of continued funding in the near future. However, IESE remains vulnerable with regard to its financial sustainability. The number of financial partners is limited and changes in embassy staff or changes in their policies may endanger IESE's financial stability. No systematic attention has been given to resource mobilization so far, situation that cannot be continued given its immense importance.

In fact evidence based research for policy support is important and relevant for underpinned decision making for national policies. This justifies support to IESE be it at national or international level. One can also state that the research as carried out by IESE has to be financed by public sources, national or international, if it wants to be independent, flexible in the choice of its subjects and able to explore a research line deeper and for a longer period. Private funds and also the option for consultancies as a source of funding are no alternative because of the risk of the loss of independency and the fact that consultancies are short term, acquisition intensive and only using and recycling existing information and not generating new information.

Funding options are limited for IESE. There are no funds easily accessible to IESE at national level, currently and in the foreseeable future. The present way of financing, with the limited number of financial partners is vulnerable and there is therefore an urgent need to limit vulnerability, first of all by valuing the relations with the present partners and also by extending and diversifying IESE's funding sources. Options for diversifying are to raise interest in funding with other potential financial partners in Mozambique and to identify and approach international funds that have the objective of funding research. To this end IESE should develop a plan for the acquisition of funding that among others identifies potential funding sources, contains a strategy for maintaining contacts with present financial partners and approaching new ones (including an underpinned and convincing argumentation on the importance of supporting independent research in Mozambique), and initiatives to approach research funds. The 3-5 years plan would be a useful instrument to present a clear perspective of IESE's future for existing and potential financiers. The acquisition of funding should have permanent attention and its follow up should be the responsibility of the Deputy Director for Resources, Administration and Finance in a supportive role to IESE's Director.

Along with activities to strengthen the common fund IESE can acquire financing for specific projects that fit in its research agenda. To this end IESE should develop such projects. Researchers should be trained in project proposal writing in order to strengthen their capacity to compete for research grants.

## ***Recommendations***

Fundraising should have a strategy, devoted human capacity and a consistent implementation process (the Deputy Director for Resources, Administration and Finance, in support of the Director, should be responsible for strategy development and implementation process, by cultivating relationships with potential funding sources, gathering information on possible approaches and potential funding sources and following up on progress and regular reporting).

Turnover of staff and officers within funding agencies, especially embassy officers, is a fact of life and will remain unchanged. To ensure continuity of knowledge, and understanding and support for its work, IESE should continuously nurture its relations with agencies' personnel. IESE should be prepared and ready to educate and win new coming agencies' staff to its vision, mission, agenda and innovative funding model (the common fund).

In partnership and alliance with other research and advocacy groups IESE must build a case for medium to long-term support from national, bilateral and multilateral public funding, to independent research and evidence-based advocacy, as public goods and keystones of freedom and democracy. It must build the case that research and advocacy will never be self-financed in Mozambique, much as it is not self-financed elsewhere. It must work with funders to establish and enforce criteria of selecting research centres and advocacy organizations that deserve and should obtain financial support against their performance.

Organize training in project proposal writing for researchers.

Develop projects fitting in IESE's programmes and raise funds for them.

Identify and establish links with potential national sources of funding such as the National Research Fund (FNI)

### ***2.5.2 Human capacity***

There is no written staff retention strategy but IESE is certainly aware of the importance of creating conditions that are favourable for staff retention. In practice staff retention will depend on a mix of conditions: salary levels as compared to those in other organizations where staff with its competencies could be employed, attractiveness of the content of the work and possibilities for professional growth, and the secondary conditions like working atmosphere, degree of responsibility given and flexibility.

IESE created working conditions that can be considered favourable when looking at the mix of factors indicated above. Salary levels are reasonable, higher than those at universities but below those in the big companies, banks and the cooperation sector (donors). IESE is furthermore the research institute that according to interviewees' information is outstanding between others in Mozambique and with conditions optimal for professional occupancy and development for a person interested in research: research staff have possibilities to study

abroad at renowned institutes, IESE provides conditions to carry out research with possibilities for field work, junior researchers are coached and there is collaboration with international research institutes, there are possibilities to present research results on different platforms in the country and internationally. This is truer when one compares this to the opportunities that other institutions in Mozambique can offer. Secondary conditions are good in that staff works in a collegial and stimulating atmosphere and with flexibility with regard to working hours and working location. In practice this results in dedicating more time to work than what officially is required. The review team thinks it relevant to mention here that IESE staff is dedicating it's time to IESE related work and does not generate additional income through side-activities. This is often the case with equally qualified persons working with lower salaries at universities.

In spite of this IESE has known the loss of staff members who choose to accept posts in other organizations. Of the total of 22 researchers who have been or are employed by IESE a total of 4 left the organization in a period of 6 years, all of them with a master's degree. Three researchers left for another job (WB, DfID, Vale do Rio Doce), one of these having acquired a master's degree through IESE. A fourth person unfortunately passed away. Researchers who have studied with IESE support, like those who acquired their master's degree, sign a contract that they will stay at IESE for three years after returning. If they leave the organization untimely they have to pay 100% of the costs when leaving in the first year, 60% in the second year and 30% in the third year.

The review team concludes that IESE has a good staff retention strategy that should be maintained.

## **2.6 IESE's cost efficiency**

We interpret the question on cost efficiency as;

- are the results/outcome/impact worth the money that is invested (value for money)?
- can it be done at a lower cost?

Properly discussing these questions in a quantified way is very difficult, but we can make some remarks on them.

The output of IESE in terms of publications, dissemination activities, participation in seminars and discussion platforms is considerable. Over the period 2012 – 2013 IESE published 4 books, 1 scientific paper, 19 IDelIAS and it organized 10 conferences/seminars, received and provided information to a large number of representatives of bilateral and multilateral organizations like WB, FMI, representatives of governments, gave contributions in 22 national and international academic discussion fora, gave contributions in 32 national and international conferences,, participated in 32 public discussions, was invited for 34 discussions organized by ministries and international organizations. This shows that IESE is very active to disseminate its research results and that is appreciated by national and international organizations and entities as a knowledgeable research institute. Best known outcome and impact of these activities are the considerable influence on the adaptation of legislation and regulation of the extractive industry and mega projects like MOZAL. Discussions on social and economic issues in the media and among public in general have

had a qualitative boost because of the evidence based information provided by IESE. IESE is furthermore building up important research capacity in the country that is required for building up an evidence based body of knowledge and information in areas essential for the development of the country. The value of all this cannot be adequately expressed in money, but one can convincingly state that IESE is giving value for money.

The list of results and activities above shows that IESE is productive. Staff is working hard and productivity is high, certainly when considering the Mozambican context. In judging the efficiency we have to consider the fact that a considerable part of the staff is young and inexperienced and that senior staff puts much effort in coaching and training. This influences efficiency negatively but is an investment in future added productivity. Overall the review team is of the opinion that IESE is functioning efficiently given the circumstances. We have seen that improvements in functioning of the young and developing organization of IESE are possible and required. Given the eagerness of IESE staff to learn and improve the review team is confident that its recommendations will be successfully implemented together with other efficiency improving initiatives of staff, thus boosting IESE's efficiency.

## **2.7 Assessing IESE's performance against similar research organizations in the region**

In assessing IESE's performance against international best practices, experiences and standards for similar research organizations the review team has started by identifying similar research organizations in the region applying the following characteristics: i) the environment of the organization under the assumption that a country with a long research tradition and many academics in research cannot be compared with IESE when it comes to matters like quality/standards for research and selection of researchers. This excludes South Africa and Kenya; ii) the institute should be independent, not linked to a university. Assumption is that the dynamics of e.g. staff recruitment and development and financing are quite different; iii) size of the institution must be comparable; iv) staff should predominantly be full time researchers.

Inquiry on the web and kindly provided information by Dr Marc Wuyts, Dr Bridget O'Laughlin and Dr Helge Rönning gave 5 institutes that more or less respond to the criteria.

Tanzania	Economics and social Research Foundation (ESRF) Research and Poverty Alleviation (REPOA)
Zambia	Southern African Institute for Policy and Research (SAIPAR)
Zimbabwe	African Institute of Agrarian Studies (AIAS)
Malawi	Centre for Social Research (CSR)
South Africa	Institute for Poverty, Land and Agrarian Studies (PLAAS)

First remark to be made is that institutes with more or less IESE's characteristics are scarce in the region. Criteria have been roughly applied in order to end up with 5. Web sites are not always complete to get a good picture of the organization and contacting these institutes from Mozambique turned out to be difficult, because of poor internet connections and

difficulties in finding the right person to talk to. We expected that it would be easier to contact the organizations from the Netherlands but this turned out to be not true. As a consequence the information gathered is limited to that provided by IESE associate researchers who know these organizations and as a consequence it is rather global. We would have expected to get ideas for best practices for matters like acquiring staff, staff capacity development strategies, staff retention strategies, quality assurance, dissemination systems, collaboration with partners and financing/fund raising but unfortunately we did not come across practices that could be transferred to IESE. The overall impression is that the quality of the research carried out by IESE is at least at the level of countries with comparable conditions like Zimbabwe, Malawi, Tanzania and Zambia and that dissemination activities as carried out by IESE are intensive when compared to the other organizations.



### **3 Relevance and Quality of scientific activities**

#### **3.1 Introduction**

IESE carries out research on a few carefully selected themes, namely i) Economy and Development, ii) Poverty and Social Protection, and iii) Citizenship and Governance. A new theme, though at initial stages, is taking shape; Emerging Powers.

The first group focuses on Economic Development and studies the political economy of patterns of accumulation and their transformation. It deals with three interconnected questions: (i) The dynamics of mobilization and allocation of resources, looking at the role of the State, fiscal policy and public expenditure, expansion of dynamics of financing institutions, and resulting economic patterns. (ii) The patterns of production and commerce and investment, their relationship with the dynamics of primitive accumulation and challenges of diversification and articulation of the productive base. (iii) The dynamics, tendencies and regional and international economic crisis and their implications for Mozambique. The group includes seven researchers led by Dr Carlos Nuno Castel-Branco, and three associate researchers, of which two from SOAS/University of London, and one from the University of Manchester. It does research on economic, social and local impact of megaprojects related with natural resources, natural resources and direct foreign investment in the agricultural sector of southern Mozambique, political economy of fiscal policy and public expenditure, decentralization and fiscal policy, dynamics of the expansion of finance institutions in rural areas, diversification of the productive base and commerce in Mozambique.

The second group focuses on Poverty and Social Protection and studies the conditions of life, poverty and prosperity in the context of the mechanisms, initiatives and activities of social protection geared towards providing dignified human security, reduce, mitigate the factors of vulnerability and risk of need and insecurity of citizens. It includes three researchers led by Dr. Antonio Francisco, and one associate researcher. It does research on demography and economics of social protection, equity and inequality of access to services of social protection, job market, employment and social protection, and fiscal space of social protection, growing old in Mozambique, dynamics of wellbeing and of poverty.

The third group focuses on Citizenship and Governance and studies the process of state building and democratic governance. It researches issues related to electoral participation, media and culture of political parties and of citizens, relationship between citizens and political representatives, mechanisms of participation at local level. The group comprises three Mozambican researchers and 8 associates.

The fourth proto-group is devoted to Emerging Powers. Under the leadership of Dr. Sérgio Chichava, it includes one researcher and works on relations between China and Brasil and Mozambique.

## 3.2 Relevance

IESE's themes are selected from current and burning problems facing the country. Their relevance and actuality are demonstrated by the interest that they command from public and private, national and international users that deal with Mozambique.

Representatives of the Mozambican government institutions, national and international research centres, officers of embassies and development agencies, invariably shared the opinion that IESE's research and outcomes are highly relevant. In addition, IESE's research findings and in general IESE's views about Mozambique are cited, sought after and referenced by embassies, The World Bank, The International Monetary Fund, government, parliament, civil society organizations, and used for the specific purposes of these institutions for policy, advocacy, dialogue with stakeholders.

IESE has also been able to select themes, and through its research, findings, publications and outreach generate public debate, lead the selected theme to become front and centre of publications in the media, debates in public spaces, and agenda item in parliament and government policy. This is certainly exemplified with IESE's work on the exploration and taxation of natural resources in Mozambique.

It is a virtue of IESE's that it maintains its focus on the selected themes, and the research remain consistent over long periods of time, thus enabling the centre and its researchers to continuously deepen their knowledge, the senior staff to train new researchers around the themes, and to publish and disseminate results with growing authority.

Throughout its existence, IESE has also been able to maintain public presence, with publications and events the public and intended audiences have come to expect and look forward. Particularly, our sources commended the regularity of the annual conferences in Maputo, where *Desafios* is made public, and the annual conference replicas in the provinces.

Representatives of Civil Society Organizations speak positively about the relevance of research carried out by IESE, and the influence it has had in their agendas for action and advocacy.

Representatives of public and government-subordinated study and research centres like SETSAN at the Ministry of Agriculture and the National Directorate for Studies and Analysis of Policy (DNEAP) at the Ministry of Planning and Development, as well as representatives of private research centres, such as OMR (Observatory for Rural Development) and CESAB (Centre of Studies Aquino de Braganca) also spoke positively of IESE's research and its influence in their lines of work. Our sources also know that public and government officers and agencies use and speak highly of IESE's work, albeit in private.

Media professionals noted that IESE has promoted the growth of inquisitive thinking and a plurality of ideas. They also noted the influence of IESE on social media.

The Central Bank of Mozambique, the Ministry for Planning and Development, The National Institute for Statistics and the National Tax Authority were cited as some of the most frequent

users and beneficiaries of IESE's results, even considering a temporary cooling of relations resulting from personal public pronouncements made by one of IESE's senior researchers.

Officers of embassies of countries that fund IESE find the research themes and dissemination of results useful to inform their own development policies. They mentioned the importance of the work of IESE on themes of good governance, budget support for government, de-concentration and decentralization of governance, strengthening of civil society and the development of the private sector. They value the independent and evidence based knowledge generated by IESE and its contribution and influence on public policy and on the increasing plurality of ideas in society.

IESE stimulates and informs debate also in the provinces as well as among students, particularly in the new universities established outside of Maputo, far away from the centres of decision and from most media coverage.

It is said that the work of IESE exemplifies and raises awareness among media professionals and CSOs on how to carry out serious study and use results to monitor public policy and practice, it stimulates facts-based advocacy and investigative journalism, both just nascent and mostly lacking in Mozambique.

IESE's research and results also helped CTA (Confederation of Mozambican Industries) and trade unions to begin to understand and act upon the root causes of low productivity and other constraints facing in particular small and medium producers.

The cooperation between IESE and CIP (Centre for Public Integrity), for example through the joint organization of presentations at public events, is also seen as productive and contributing to cement the image and public views of both centres as fighting for good governance and caring for the public good.

The *common fund* as a funding mechanism was hailed by our sources as innovative and enabling the freedom of IESE to select research themes that fit the centre's vision and mission and best serve Mozambique. The common fund shields IESE from the particular interests of funders and permits IESE e.g. not to engage in paid consultancy work. The themes of paid consultancy work are determined by the buyer of the service through the contract's terms of reference.

A source mentioned that the theory of change of the research on megaprojects and taxation is clear. This cannot be said about the theory of change for the other research themes embraced by IESE.

The perceptions regarding the relevance and image of IESE is however mixed and even contrary perceptions prevail. Most interviewees see IESE as credible, evidence based, consistent, representing an analytical and critical view of governance and policies, bringing benefits to good governance and to the country generally.

The sources speak also of a contrary perception, mostly held by government and party officers and pundits, who see IESE as bearer of bad news and of disgrace (*apostolos da*

desgraca), opposition to government, prevented from access to data and information and shunned by public newspapers, TV and radio stations.

One source added that government posture is not uniform, that in general this has changed over time from offended by IESE's independent positions, to claiming credit for allowing critical voices such as IESE's to go public.

Another source said that in private there is much more support and sympathy for IESE than is displayed in public, for fear of consequences.

### **3.3 Accessibility of IESE's results**

Current IESE publications are *Desafios*, a yearly published collection of IESE research findings and of other selected articles contributed by authors not necessarily associated with IESE. *Desafios* is written with a non-academic and non-scientists audience in mind, in a language deemed accessible for private and public professionals, government officers, civil servants, policy makers, lawyers, private entrepreneurs, students, employees of NGOs and civil society organizations, embassies and development agencies personnel, and the public in general. It is presented in an annual conference, arguably IESE's most important and attended dissemination event, with replicas of the conference held in Mozambique's provinces. Samples of *Desafios* are sent free of charge to Parliament, public and academic libraries and within six months posted in the IESE website. *Desafios* is also sold at bookshops.

*Cadernos* is an occasional publication with selected research findings by IESE researchers. It is a specialized publication written for academic audiences. *IDeIAS* are single problem, 2 pages occasional publications that deal with current burning affairs, intended for the general public and used also by media professionals. IESE publishes also books such as "China and Mozambique - the Dragon and the Mamba". Ten books have been published since 2009.

IESE also invests time and energy to publish and disseminate its findings and promote public awareness and critical debate stemming from its findings. It has organized 3 highly appreciated international conferences and a fourth is being organized in August this year. It holds the annual conference in Maputo and its replicas in the provinces. It organizes seminars and workshops directed to selected publics, according to the content of the findings, gives interviews and participate in round tables and panel discussions organized by the media and other organizations, make presentations in events such as conferences held by civil society organizations and research centres such as CIP, OMR, Agenda 2025.

IESE's work and results are highly visible. Yet, it has also been noted that IESE's results are not easily accessible and understandable by citizens with e.g. the equivalent to secondary school level of education or lower. Considering that these constitute the overwhelming majority of citizens of Mozambique, this is viewed as a limiting factor. It is thought that more needs to be done by IESE to reach a broader sector of the population.

IESE has deliberately selected to give priority to national audiences. Less time and effort has been devoted in the initial 6-years of IESE's existence to translating the publications in English. This is also viewed as limiting IESE's possible influence and impact, considering that

Mozambique is surrounded by English speaking countries. Moreover, most people in embassies and development agencies locally and internationally do not read or understand Portuguese.

IESE has also consciously not given priority to write and publish in peer-reviewed journals nationally and internationally. IESE has selected to use the time and energy of its few - today 4-5 - senior researchers to put IESE on the map of high quality and relevant research centres in Mozambique, and to select, recruit and train a new generation of research fellows. This said, it must be noted that this choice, right as it was at the time it was made, has the downside of making IESE less known and recognized in academic circles worldwide, which also limits IESE's ability to access research funds from research-focused agencies as well as limits IESE's ability to tap into a wider pool of international expert knowledge.

### **3.4 Quality**

All our sources, especially scientists best informed with IESE's line of work, both in Mozambique and abroad, judge the quality of IESE's work as generally good, and at the level of the research carried out in research centres in Zimbabwe, Malawi and Tanzania.

The fact that IESE invites senior researchers to supervise the research of some of its junior researchers and sends its researchers for training, internships, masters and doctoral studies abroad, contributes also to enhance and maintain high standards of scholarship.

It was noted that IESE, though young and small, has positioned itself as one of the best if not the leading socio-economic research centre in Mozambique.

At the same time, it was noted that the quality of the publications and of the public presentations is not uniform. This is not surprising, given IESE's drive to push also the junior researchers to publish and present their work publicly as part of their training and to inform the public and promote awareness and debate, IESE's mission indeed.

Quality assurance of IESE publications is presently done by senior researchers who lead the research groups. The second level of assurance pertains to a *Scientific Committee* mandated to verify and approve publications prior to public dissemination. In order to enhance the quality of its publications IESE plans to have an Editorial Council (Conselho de Redacção), composed of experienced and renowned researchers. In our opinion the Editorial Council should not only judge and ensuring the quality of publications, but it should also suggest training models and procedures to improve the quality of the publications and presentations made by young and upcoming researchers. Initially its focus should not be to approve or reject publications, but to help enhance the quality and ensure a consistent high standard of all types of publications and presentations, a goal that should be reached over a well-defined period of time.

Recently an initiative has been taken to improve the quality of IESE's work. Scientific seminars are organized every two weeks. Here researchers present their work and share information with colleagues and benefit from their feedback and insights. External participants are sometimes invited to attend the seminars.

IESE is unique and pioneer in Mozambique in the ethics, rigor, and way it conducts research and publishes results. This is also a limiting factor, because it means that there are no comparators and competitors around in the country, which could contribute to peer-review and consistently push quality within IESE.

Quality partly depends on the research experience and exposure of researchers to best practice, well-endowed libraries, and vibrant academic environments. This is mostly absent in academic circles in Mozambique and can only be obtained abroad. The limited number of researchers at IESE and the pressure of research, writing, publishing and responding to external demand for interviews, public debates, visitors, limits the ability of researchers to be absent from IESE more frequently. In addition, IESE lacks the financial resources necessary to send researchers for PhD courses abroad, even in the preferred mode of sandwich programs. It means that IESE researchers are always very busy (overloaded?), have little occasion to visit seminars and conferences abroad. This has a clear implication for quality of research and publications.

Scientific partnerships for research and joint publications with scientists from other countries are contributing to IESE's academic environment and enhance quality and output. Partnerships exist with scientists from the School of Oriental and Social Studies (SOAS) in London, the Institute of Development Studies (IDS) in Sussex, the Institute for Social Studies (ISS) in The Hague, the Chr. Michelsen Institute (CMI) in Bergen, the South African Institute for International Affairs (SAIIA) in South Africa, as well as research centres in Sussex, Makerere University in Kampala, China and France.

IESE has chosen to concentrate on national audiences. The review team is of the opinion that this is a good choice given the present balance between experienced and junior researchers. However, publishing in international peer reviewed journals is an excellent instrument to push quality and therefore IESE should foresee to publish in these journals in say three to five years when the research capacity within the organization has increased.

## ***Recommendations***

### ***Reaching wider audiences***

Pay more attention to translating the research products in such a way that they are accessible to a bigger public like policy makers, civil society organizations and their audiences, and to media professionals. This can be done by IESE working in partnership with professionals like journalists, and professional writers trained and with experience of writing for lay audiences and by partnering with NGOs and CSOs. The use of national Mozambican languages other than Portuguese can be considered. These partners are also a channel for further dissemination.

Translate publications in English to make them accessible for researchers in other countries and for staff of e.g. bilateral, multilateral and international agencies and the international business community in Mozambique.

Organize thematic meetings with target groups like NGO's, CSO's, private sector and advocacy-gearred organizations.

Encourage and train IESE's researchers to interact with the media.

Hold periodic meetings with media professionals to share information on results or progress on current research, thus enabling the media to write and communicate about them.

IESE website has a good potential but should be improved by offering a bigger variety in its content and to make it more user-friendly.

Establish the Editorial Council (Conselho de Redacção) as foreseen.

Engage potential users of research outcome at an early stage of identification and formulation of the research project and communicate with users during the process. This might help to sharpen the research focus, raise awareness and improve the uptake of the results by the intended beneficiaries.

#### *Enhancing quality*

Systematically work on improving the quality of the publications with the objective that in three to five years' time IESE publishes regularly in international peer reviewed journals.

## **4 Role and impact (outcome) of IESE**

### **4.1 IESE and other research institutes**

In Mozambique today there are a few centres comparable to IESE, notwithstanding their differentiated visions and mandates. The Centre for Public Integrity (CIP) is a study and advocacy centre devoted to studying and monitoring probity, transparency of government contracts, conflicts of interest between public service and private interests. The Observatory of Rural Development (OMR) is a research centre imbedded in A Politecnica, a leading private university, and is devoted to research and dissemination on rural and agricultural development.

CIP and OMR are active, well known and well regarded in society. The Centre of Studies Aquino de Braganca (CESAB) is devoted to research in social studies, law and culture. It is less known and preminent than IESE, CIP or OMR.

In the public space, there are specialized and active research and study centres within the Central Bank of Mozambique, the Ministry of Planning and Development and the Ministry of Agriculture that carry out research and publish in areas related to the focus of IESE.

In this environment, IESE is considered unique and pioneer. Its establishment and activity is said to have stimulated the birth of centres like OMR and CESAB, as well as stimulated

government to value the work and increase support and demand for the work done by SETSAN and the study centre at MPD.

IESE is thus a young and small research centre on socioeconomic development and policy with a standing and influence in Mozambique that is disproportionately bigger than its short age and small size. After a short period of six years, starting with a core group that included initially only 3 experienced university professors and researchers, the centre has been able to be known and referred to as a leading and professional research centre. The effects of the results of IESE's research that come in the form of publications, conferences, seminars, round tables and public interviews are felt in society. IESE is having impact on processes, legislation, and public awareness.

IESE publications are sought after by a growing number of readers and users. More and more participants to the annual conference and readers of *Desafios* call upon IESE when the event or the publications are delayed. Bookshops demand increasing number of volumes of the publication, notwithstanding the fact that 30% of the publications are freely distributed and IESE website carries *Desafios* freely six months upon publication.

## **4.2 Creating and Stimulating Public Debate**

The visibility and respect for IESE results from the fact that IESE identifies issues that are relevant for the country, researches them and sparks and creates public debate on them through publications and events. Taxation of "megaprojects" and the benefits for Mozambique resulting from the exploration of natural resources is the best known research area and public debate and awareness that resulted directly from the research and events realized by IESE. The research on democracy and the electoral process gets much attention by journalists and visitors from abroad.

IESE's research on poverty and social protection has led to growing awareness of the very uneven distribution of wealth in the country. It has sparked a heated national debate about the growing inequality and the widening gap between those who have and those who have not and about the perceived disconnect between economic growth at rates of 7%-8 % per annum over a period of more than two decades, on the one side, and a stagnant and poor quality of life for the majority of the population, on the other side.

IESE has stimulated public attention and critical eyes towards public policy and today there is generally more analysis and more diversity of opinions in radio, television and newspapers to which IESE has certainly contributed.

## **4.3 Enhancing research and research capacity**

In parallel with scientific output, IESE devotes enormous effort to train future researchers in selected themes of socioeconomic development for the country. This is a paramount service for Mozambique considering the lack of capacity for high quality research training in the universities and higher education system in general. For a long time higher education institutions and their research have been underfunded, professionals are poorly paid and not



motivated, moonlighting is generalized, there is virtually no funding for research, and public and political interference in research is common. Across the board, masters and PhD programs at universities are very few, they enrol very few students and they are generally of poor quality, a situation compounded by the poor quality of students that enter higher education institutions. For these reasons IESE in fact has a role that universities should play, by training young professionals to become researchers who respond to professional standards of academic ethics and scientific rigour, who are geared at relevance, and who strive to attain the highest quality of outputs. IESE furthermore contributes to the quality of teaching and research at the Eduardo Mondlane University because its researchers teach and supervise theses by students of the Faculty of Arts and Social Sciences and the Faculty of Economics. Because IESE staff uses their research results in class students experience how research contributes to knowledge development that can be used in the country. The cooperation with the Eduardo Mondlane University serves two purposes for IESE, it contributes to enhancing the quality of university teaching and research and it gives access to a pool of students from which candidates with quality and interest to pursue a career in research can be selected and trained as IESE researchers.

IESE came into being at a time when it was almost unheard of to publish research that did not vindicate government discourse about development and poverty reduction. It was partly thanks to IESE's results that government began to pay attention and provide support to studies and research carried out in centres subordinated to government institutions such as the Ministry of Agriculture and the Ministry of Planning and Development.

#### **4.6 Source of information and insights**

IESE has a small quality documentation centre. Presently, because of its small size, the DC serves primarily IESE researchers through acquisition and collection of publications relevant to the selected research agenda. Potentially, when it eventually acquires more space, the documentation centre may serve also students, academic staff and other users interested in the collection.

IESE acts as a source of information and insights for government and a variety of development partners like enterprises, WB, IMF, embassies and civil society organizations. It is generally perceived as an open and accessible organization, ready to entertain, inform and debate with a diverse group of national and foreign visitors.

#### **4.7 Defining outcome and impact**

IESE reports on its results in the annual reports and limits itself to the output level like the numbers of publications, seminars organized and attended, etc.. This is of interest because it allows to see and to show what has been produced. However, in particular financial partners are interested to see what impact the institution they finance has. This can be understood very well. Problem is that measuring impact is very difficult if not impossible. When we go to the outcome level more is possible and it is in fact interesting for IESE itself as well. Among other metrics, outcome can be defined as the scientific results of its research, the nature and

extent of audiences and beneficiaries reached, the use of results by beneficiaries, how beneficiaries assess/value what they obtain, changes that can be attributed to work carried out by IESE or by users of IESE's products, citations and uses of IESE's work in dialogues and policy.

#### *Recommendation*

It is true, additional work has to be done for presenting outcomes and it may not be so easy. Therefore IESE should discuss the issue with the financial partners and get to an agreement on the indicators that should be included in the reporting.

### **4.9 Improving communication**

Currently, communication efforts are centred around events such as the annual conference and seminars. There is no discernible strategy for year round communications.

#### *Recommendations*

IESE should give more attention to human resources, strategy and plans for public communication of its research results. It should develop and divulge internal processes for exchange of information and cooperation between staff in communications and research fellows.

Research fellows should be helped by communications staff to publish their results in languages, size and formats that are accessible to different audiences such as policy makers, legislators, leaders of small and medium enterprises, according to the nature of the findings and the intended audiences. In this context, IESE should explore the best solution for producing short 2-3 pages "policy briefs".

An intranet should be created to facilitate the exchange of information among staff, which could carry calendars and news of events, interviews by staff of IESE, coverage of IESE in the media, significant developments for IESE, as well as other working documentation such as personnel rules and procedures, schedule of holidays, to name but a few examples.

## **5 Challenges ahead**

Within a short period of six years, IESE has been successful to build itself as a well-known and respected research centre. Respected for the quality of research, dissemination and promotion of public debate that it does. Going forward, it is very important to consolidate these achievements. At the same time, it is equally important for IESE to make a planned and controlled transition from a small organization with mostly informal practices (adequate for a small-size organization), to a medium to large size professionally managed organization.

One step in the road of consolidation and professionalization will be to proceed with the segregation and definition of duties, and the appointment of qualified staff for key positions for the primary functions of research and dissemination on one hand, and for the indispensable support functions of administration and finances, on the other hand. Among others, the later should encompass functions such as of planning and reporting, resource mobilization and fund raising, internal and external communications, and human resources development.

For the growth towards a medium or large size organization, IESE must define a vision of where it wants to be in the coming 3-5 years, based on a definition of the agenda for research, publication, dissemination and outreach. IESE must define the steps and processes necessary for the evolution that must take place in all aspects of the organization to move from its configuration today, to reach the desired vision. Namely, it must define the developments that must take place regarding human resources, leadership and management systems, working space, infrastructure and overall working conditions, estimative size and cost of development, as well as of recurrent costs for such a new size.

Based on the 3-5 years vision, IESE must design and execute a strategy for mobilizing the financial resources that will allow IESE's continuation as an independent and flexible quality research institution. This might include a combination of financial sources such as a medium term commitment of current and additional financial partners to continue funding IESE via a common fund; accessing resources from foundations and other institutions that usually fund research; accessing funding from public funds from the Mozambican government and its agencies devoted to funding research; accessing scholarships and bursaries for masters and PhD courses. This will require additional capacity for resource mobilization and fund raising, the ability to deal with key aspects of the readiness of IESE to compete for financing, capacity of researchers to write research applications, nurturing and quality reporting to donors, among others.

As part of the 3-5 year vision, IESE should initiate a process to balance capacity across the research groups, namely that all research groups possess the adequate numbers of quality senior and junior research fellows to carry out the research agenda defined for them. This does not mean that all research groups should have equal numbers of researchers. Neither does it mean that researchers can be administratively distributed across the groups. It does mean that each research group must develop a vision of where it wants to be in 3-5 years, and go on to recruit, train and retain the necessary researchers.

The relevance of IESE depends on its ability to carry out quality research, publish and disseminate the research results to national audiences. IESE must do this and remain true to its commitment to independence, rigor, and quality, without alienating or unnecessary antagonizing with key audiences such as state institutions and government.

It is very important to maintain and consolidate this characteristic of the Institute. This will require IESE to do more to establish and nurture active partnerships and working relations with other research centres, as well as with beneficiary organizations such as NGOs, CSOs, and the media. This should continue to be a priority for IESE.

At the same time, over the next 3-5 years, IESE must get ready to reach out more actively to regional (SADC) and international audiences constituted by research centres, regional and international organizations and foundations. An important part of this drive will be to publish in English and to publish in peer-reviewed journals. This should remain an important but second priority.

In sum, the challenge facing IESE is to consolidate what it does so well already (research, publication, dissemination, public outreach) and, simultaneously, to define and implement a vision for the foreseeable and predictable future of 3-5 years.

## **6 Conclusions and recommendations**

### **6.1 Conclusions**

#### *Institutional development*

The design of the governance structure of IESE is good but there is a need to better define the roles of Assembleia Geral, Conselho Científico and Conselho de Direcção and to create a platform for discussions regarding IESE at a strategic level.

IESE has outgrown its premises and needs a more spacious accommodation. A first estimate by IESE comparing costs for renting with the construction of a new building indicates the new building as the best option.

#### *Management*

IESE has to make the transfer from a small organization where management can be informal and communication is self-evident, to an organization that needs stricter management methods and rules and properly functioning communication mechanisms. This has been taken up and initiatives have been taken to e.g. improve the planning and budgeting cycle and to adapt administrative and financial procedures. However, the process is slow and specialized expertise would improve the quality of the process and its envisaged results and it would speed up the process.

IESE needs, along with development strategy, an integrated 3-5 years' plan for research programmes and support activities (administration, finance, IT, communication, and documentation). The plan should indicate the needs in human resources, financial resources, infrastructure and working facilities. It will help to give more focus to IESE's development process and support and direct decision making.

Within the organization focus is very much on IESE's primary processes and consequently the support functions are too weakly developed, qualitatively and quantitatively. There is a need to strengthen the administration/finance department and the communication department. Research staff is not sufficiently aware that they have also a role to play when IESE wants to have a smoothly operating administrative and financial system. A change in attitude is required.

Consultations and decisions of meetings are poorly followed up. One should strive for higher effectiveness and efficiency of meetings.

#### *Capacity development*

Creating a strong research institute in Mozambique that does not have a research tradition is a big challenge. Given the circumstances IESE's approach for capacity development is adequate and one should be aware that in spite of this there is still a long way ahead until this goal will be achieved.

## *Sustainability*

The financial partners are very much conscious of the importance of independent socio-economic research for a country and they are satisfied with IESE's role and performance in the Mozambican community, which is positive for the perspective of continued funding in the near future.

The financial partners would appreciate an additional effort of IESE to better strategize for change and to extend the proliferation of its results by increasing their distribution beyond Maputo and by presenting them in language that can be understood by a bigger public. More informal meetings on ongoing issues would also be appreciated as it would help partners to improve the quality and the effectiveness of their presence in Mozambique.

Financial sustainability is of utter importance for IESE and the present way of financing, with a limited number of financial partners is vulnerable. There is therefore an urgent need to limit vulnerability, first of all by valuing the relations with the present partners and also by extending and diversifying IESE's funding sources. Options for diversifying are to raise interest in funding with other potential financial partners in Mozambique and to identify and approach international funds that have the objective of funding research. The search for funding should be intensified.

IESE's conditions for staff retention are sufficient with adequate salary levels, attractive work content, opportunities for professional growth and a good working atmosphere. Measures are taken to retain staff members who have studied abroad at IESE's cost. The fact that staff leaves the organization has to be reckoned with and cannot be prevented.

## *IESE's cost efficiency*

The review team concludes that IESE is cost effective because of its considerable output of evidence based research results that is among others influencing policy making, has contributed to the adaptation of legislation and regulation of the extractive industry and mega projects, is a source of important and relevant information to national and international organizations and is giving an important contribution to stimulating and raising the level of public debate. IESE is furthermore building up important research capacity in the country that is required for building up an evidence based body of knowledge and information in areas essential for the development of the country.

Improvements in functioning of the young and developing organization of IESE are possible and required. Given the eagerness of IESE staff to learn and improve it can be expected that efficiency will increase.

## *Relevance and Quality of scientific activities*

IESE's work is generally relevant and of high quality. The areas selected for research are relevant, they address key problems facing the development and governance of the country,

and meet the expectations of the intended beneficiaries in the public and private institutions, civil society and non-governmental organizations, donor agencies, and bilateral and multilateral institutions.

The quality of the publications, conferences, seminars and other events organized is generally high, although there have been cases where participants felt uneven quality among the presentations. The publications reach a significant segment of the intended audiences, notwithstanding the expectation voiced by many that IESE should work on additional types of publications made to be more accessible for people with lower levels of formal education.

IESE publishes with already very good effect for national Portuguese speaking audiences. It is urged to publish in English and to "go international and quality higher" by also publishing in peer-reviewed journals.

### **Role and impact (outcome) of IESE**

IESE is visible and influential in society. Its role and impact are felt in the content and diversity of ideas discussed in public debates informed by research results stemming from IESE. Its work impacts monitoring and shaping of public policy, advocacy done by other organizations, attention given to research in public and private research and study centres, training of a young and diverse generation of independent-minded researchers with values of professionalism, ethics and rigor. It impacts media professionals and a nascent generation of investigative journalists who claim to have a better understanding of research-based evidence to underpin their work.

## **6.2 Recommendations**

We repeat the recommendations that are already in the preceding text with an indication of whom in our opinion should be the person responsible for (the coordination and follow up of) their implementation and with a prioritization.

### **Director**

#### *Priority*

Define the roles of Assembleia Geral, Conselho Científico and Conselho de Direcção sharper and prevent superfluous discussions in their meetings.

Make the positions of Deputy Director for Resources, Administration and Finance and Head of Communications full time functions.

Fundraising should have a strategy, devoted human capacity and a consistent implementation process. The Deputy Director for Resources, Administration and Finance, in support of the Director, should be responsible for the strategy development and

implementation process, by cultivating relationships with potential funding sources, gathering information on possible approaches and potential funding sources and following up on progress and regular reporting.

Activate the CO with as members leading and respected citizens and researches, with an advisory role to the Assembleia Geral and no decision making powers.

IESE should discuss with the financial partners and get to an agreement on the indicators for outcome that should be included in the reporting.

IESE should give more attention to human resources, strategy and plans for communicating its research results. It should develop and divulge internal processes for exchange of information and cooperation between staff in communications and research fellows.

#### *Less urgent*

Consider the possibility to no longer divide the researchers in the three research groups but to have a pool of researchers from which the teams for the different research projects are selected.

Identify and establish links with potential national sources of funding such as the National Research Fund (FNI)

IESE should build a case for medium to long-term support from national, bilateral and multilateral public funding, to independent research and evidence-based advocacy, as public goods and keystones of freedom and democracy.

### **Scientific Deputy Director**

#### *Urgent*

Pay more attention to translating the research products in such a way that they are accessible to a bigger public like policy makers, civil society organizations and their audiences, and to media professionals. This can be done by IESE working in partnership with professionals like journalists, and professional writers and by partnering with NGOs and CSOs. The use of national Mozambican languages other than Portuguese can be considered.

Engage potential users of research outcome at an early stage of identification and formulation of the research project and communicate with users during the process. This might help to sharpen the research focus, raise awareness and improve the uptake of the results by the intended beneficiaries.

Establish the Editorial Council (Conselho de Redacção) as foreseen.



### *Less urgent*

A capacity development plan for the next 3-5 years should be developed, including the contribution of external senior associate researchers.

Translate publications in English to make them accessible for researchers in other countries and for staff of e.g. bilateral, multilateral and international agencies and the international business community in Mozambique.

Explore the organization of periodic small events - seminars or workshops - specially designed for specific target groups in the public sector, private sector, funding partners, CSOs, NGOs

Systematically work on improving the quality of the publications with the objective that in three to five years' time IESE publishes regularly in international peer reviewed journals.

Develop projects fitting in IESE's programmes and raise funds for them.

### **Deputy Director for Resources, Administration and Finance**

#### *Ongoing initiatives to be implemented with priority*

Train the researchers in planning/budgeting and in basic project management. The training should be adapted to the needs of IESE and organizing this should be the responsibility of the Deputy Director for Resources, Administration and Finance.

Continue with urgency the process of developing a budgeted annual activity plan, implement and monitor implementation strictly and report on the performance in line with the new reporting format and learn lessons for the next planning cycle. Contract external expertise in a facilitating role, leaving the leading role to IESE staff, to improve quality and to speed up the process. As we explained in the report the planning, budgeting and reporting is in fact the responsibility of all staff members. It is the responsibility of the Deputy Director for Resources, Administration and Finance to coordinate the process and to monitor progress.

Implement the personnel performance assessment instrument. Some training of superiors in having assessment exchanges will facilitate the process and it would also boost the quality of the initiative. Actual implementation is the responsibility of the departments heads, eg for scientific staff and administrative staff under the supervision of the director. The Deputy Director for Resources, Administration and Finance has to coordinate the process and to monitor progress.

Make sure that the manuals for administrative and financial procedures are urgently completed by a consultant and pay attention that they are adequately introduced in the organization. The Deputy Director for Resources, Administration and Finance should see to it that researchers and support staff strictly comply with the rules and regulations of the manuals.

Create a clearer structure for support functions with a leading role for the Deputy Director for Resources, Administration and Finance.

Elaborate the alternatives for adequate office space more in depth and convince potential donors to finance the building, the alternative that most probably will be superior.

*To start as soon as first priorities are under control*

Work out an integrated 3-5 years plan for research programmes and support activities (administration, finance, IT, communication, and documentation). The plan should indicate needs in human resources, financial resources, infrastructure and working facilities. External expertise to facilitate the process has to be considered. The 3-5 years plan should discuss the future of the three present research groups and the possible need for additional research groups. Minimal size of a research group should be discussed because of critical mass, maximum size of each group should be seen in the perspective of a balanced composition of the organization. This should also be seen in the light of the discussion of the right size of IESE in the coming three to five years.

*Less urgent*

Organize training in project proposal writing for researchers.

### **Communication department head**

*Urgent*

Implement system of systematic data collection on activities, outputs, outcomes, challenges, and lessons learned. The Communication department should introduce and maintain the system and coordinate analysis of its contents and the preparation of IESE's annual report.

Hold periodic meetings with media professionals to share information on results or progress on current research, thus enabling the media to write and communicate about them.

IESE website has a good potential but should be improved by offering a bigger variety in its content and to make it more user-friendly.

Communication staff to help research fellows staff to publish their results in languages, size and formats that are accessible to different audiences such as policy makers, legislators, leaders of small and medium enterprises, according to the nature of the findings and the intended audiences. In this context, IESE should explore the best solution for producing short 2-3 pages "policy briefs..

### *Less urgent*

Turnover of staff and officers within funding agencies, especially embassy officers, is a fact of life and will remain unchanged. To ensure continuity of knowledge, and understanding and support for its work, IESE should continuously nurture its relations with agencies' personnel. IESE should be prepared and ready to educate and win new coming agencies' staff to its vision, mission, agenda and innovative funding model (the common fund).

Encourage and train IESE's researchers to interact with the media.

An intranet should be created to facilitate the exchange of information among staff.

## Annex 1 Terms of Reference

### Terms of reference for the Mid-Term Review of IESE's Strategic Plan 2012-2015

#### Introduction

The *Instituto de Estudos Sociais e Económicos* (IESE) was formally created in September 2007. IESE started its activities in April 2008, after the first group of partners signed the Memorandum of Understanding (MoU) that guides the relationship between the institute and partners.

IESE is now implementing its second strategic plan corresponding to the period 2012-2015. After two years of activity, a medium term review (MTR) is required to assess progress, effectiveness, impact and new challenges related to IESE's development, and to address the issue of long term sustainability.

#### Background

Mozambican society faces crucial social, economic and political development challenges: a robust, innovative and dynamic economy needs to be created, in which inequality, poverty, vulnerability and aid dependency are significantly reduced and an effective, proactive, creative and democratic state, in an environment of broad political participation, is developed. Greater regional and international openness and more dynamic and complex interactions shape the overall background within which the Mozambican society debates and addresses the challenges it faces.

International experience shows that broad-based and sustainable political, economic and social development with social justice and equity is directly and positively related to the internalisation and mastering of theoretical, empirical and analytical knowledge, informed debate of ideas, institutional innovation and creative and critical analysis. This endogenous but open process requires that the society develop its capacity for self-evaluation, self-criticism and self-improvement within its regional and international context, on solid methodological, informational and analytical grounds. Progressive, dynamic and democratic development is largely determined by the ability of the society to identify its own central challenges, questions and themes for debate and to articulate interests, ideas and development linkages around the most positive and dynamic political, economic and social forces on the basis of solid knowledge and political action.

High quality, relevant, systematic and interdisciplinary social and economic research, training, publication and debate of research results are required to sustain the development debate, to improve the quality and effectiveness of public policies and of democratic monitoring and evaluation. Institutions and citizens need to be capable to understand the social and economic dynamics of the problems they wish to tackle and solve. They need sufficient information and informed debate in order to choose, identify and prioritise the problems to tackle and the alternative ways of handling them, and in order to succeed in defining interventions which are not only

adequate from a functional and individual perspective, but are also adequate for the historical context within which the problem exists and interacts with other issues.

Experiences of various African countries show the need, possibility and advantages of developing research institutions that are scientifically independent, pluralist and interdisciplinary, that are capable of functioning as unified research institutions with a common scientific culture and complementary research themes and projects, and that are rooted in national and international debates and key issues concerning the most important development challenges.

In this context, the Institute for Social and Economic Studies (IESE) was created as a result of an initiative from a group of academics and other citizens in Mozambique that are particularly concerned with the need to improve the quality, focus and dissemination of social and economic research of high academic standards, interdisciplinary and heterodox, which is of social relevance for Mozambique and Southern Africa.

IESE's mission is the promotion of high quality, interdisciplinary, heterodox, pluralist and relevant social and economic development research on Mozambique and Southern Africa, the publication and dissemination of research results and implementation of research related training. IESE's research, the corner stone of all its other scientific activities, is focused on issues and challenges for social and economic development, democratic and effective governance, policy analysis and social impact evaluation and monitoring.

During the period of its first strategic plan (2008-2011), IESE has established itself as a national and regional reference research institution, a key component of the national and regional research network and a repository of experience, information and knowledge on social and economic issues for the academic and development relevance of its research and other activities. IESE's main international scientific conferences and several other thematic and smaller conferences and workshops, its books and papers, its two-pager bulletin, its intense interaction with the media and the academic world in Mozambique, the focus of its research on key and highly relevant economic, social and political issues, have contributed to make of IESE a central player in research and debate of development issues, and in setting the research and debate agenda in Mozambique in some areas.

The 2012-2015 strategy prioritise (i) international academic standards on scientific work, although maintaining a focus on public development policy debate; (iii) the advanced training of the staff; (iv) the development of scientific partnerships; (v) communication and dissemination of research results to a broad public; and (vi) institutional development, particularly in the fields of internal organisation, planning and budgeting, mobilisation of resources, and management and administration.

## **Objectives and Scope of the Review**

The MoU between IESE and its partners establishes that a mid-term review (MTR) should be undertaken to assess IESE's performance against the agreed plan.

The MTR should essentially be an instrument to assess how IESE has met the objectives and targets defined in the strategy. This process of evaluation will be done by an evaluation team composed by a team comprising an international consultant and a national consultant.

The overall goal of the evaluation is to assess IESE's main strengths, weaknesses, opportunities and threats, to make recommendations that help IESE to consolidate its strengths, improve on its weaknesses, take advantage of opportunities and avoid the threats. The assessment should emphasise progress and change that occurred during the limited time frame of IESE's activity and focus on learning and improvement.

The MTR should also assess IESE's performance against international best practices, experiences and standards for similar research organizations in the Southern African region and beyond. The assessment of IESE against international standards, experiences and practices should help to contextualise IESE in broader contexts, to provide benchmarks for the future, as well as to provide the opportunity for IESE to learn from international experiences.

The MTR should focus on three main aspects, namely: *(i)* institutional development, including, amongst others, the quality of planning, the system of self-evaluation, the strategy for development of human resources and the long term sustainability; *(ii)* the quality and relevance of the scientific activities of the IESE, namely research, publications, debates and training; and *(iii)* the role and impact of IESE in the context of Mozambique.

Amongst others, the MTR should answer the following questions:

- 1) Institutional development:
  - i. What is the current relationship between planning/budgeting and the overall strategy for institutional development at IESE?
  - ii. Do the existing monitoring and evaluation arrangements, namely reporting and meetings, serve both IESE and Partners? How can such arrangements be made of more relevance (and simplified) for overall planning, management and evaluation purposes?
  - iii. To what extent is the strategy for human resources development sustainable and adequate for fast and high quality training of IESE's staff?
  - iv. What is the IESE's staff retention strategy?
  - v. How is dealt with the question of gender at IESE?
  - vi. How is the relationship between IESE and its Partners developing and what are the challenges ahead?
  - vii. What is the cost/efficiency relation of IESE activities?
- 2) Quality and relevance of scientific activities:
  - i. How important and relevant is IESE's scientific activity (research, publications, debates and dissemination), and how strategically is it developing?
  - ii. Is it meeting academic international standards?
  - iii. What are the challenges raised by the need to develop research partnerships with Mozambican associates, as well as with international associates?
- 3) Theory of change, role and impact of IESE:

- i. What are the areas of major impact of IESE's work, why is it so and what can be learned from this experience? (considering its different audiences – academia, policy makers, CSOs and society at large – and national coverage)?
- ii. How is IESE influencing public policies debate?
- iii. How does IESE deal with state institutions?
- iv. What is IESE doing to improve dissemination and impact?

In addressing these and other issues, the evaluation should briefly describe IESE's experience and progress, compare this with international experiences and standards (particularly in Southern Africa), identify challenges ahead and make specific recommendation for the future. Among others, recommendations should address the following aspects:

- i. How can IESE develop and use the internal evaluation of performance of researchers to continuously improve quality and standards?
- ii. How can IESE address the critical balance between the need to protect its focus on independent research and the long term requirement for a more sustainable and less volatile financial basis?
- iii. What can IESE do better to improve dissemination and impact?
- iv. How can the implication of the "impact analysis" be used for strategic purposes (for example, in focusing more or, alternatively, diversifying more its research)?
- v. How can IESE's long-term sustainability be ensured?

## Methodology and outputs

The review team should base the evaluation on available documentation and interviews with stakeholders.

Given the objectives and scope of the MTR, the documentation to be considered includes:

- 1) The strategic plans of IESE for 2008-2011 and 2012-2015;
- 2) The annual plans and budgets, as well as the annual and semi-annual activity and financial reports;
- 3) Minutes of the meetings between IESE and its partners;
- 4) A sample of IESE's publications (to be selected by the review team);
- 5) A sample of the coverage of IESE's activities by the media;
- 6) IESE's website.

Based on these and other documents, the evaluation team should produce an inception report that will guide the identification of more focused, selective and relevant questions to be addressed during fieldwork and in the final report.

During fieldwork, the evaluation team will interview:

- 1) IESE's key staff: members of the board, members of the scientific council, other key staff from the different units of the Institute (documentation centre, information and communication and administration), and other researchers (including a selection of associated researchers and ex-staff members);
- 2) Students that have been supervised by IESE's researchers;
- 3) Other members of IESE's General Assembly;
- 4) Staff of the partner agencies, including both those that provide financial support and those that are, or at some point were, working through scientific/thematic partnerships with IESE.
- 5) Other agencies that don't have a partnership with IESE, but that have followed IESE's work closely (Embassies, World Bank and IMF representations, among others).
- 6) Government institutions interested in IESE's main areas of activity (DNEAP/MPD, Gabinete de Estudos/MdF, Banco de Moçambique, Ministry of Mineral Resources, Ministry of Industry and Trade, among others).
- 7) Representatives of the independent media and social organizations that might be in contact with IESE's work;
- 8) Other organizations and individuals.

The work will start in January 2014, for a total of four working weeks, and the final report should be submitted by the 15<sup>th</sup> of March 2014. The evaluation team leader will be contracted for 35 working days, and the second member of the team for 15 working days.

Subject to a detailed work schedule to be agreed between IESE and the consultants:

The work of the team leader will provisionally be structured as follows:

- 1) 6 working days for collection and study of the documentation and production of the inception report;
- 2) 12 working days in the field for interviews, culminating with a small seminar with IESE's staff and main partners;
- 3) 12 working days to write the first draft of the final report;
- 4) 5 working days to complete and/or improve the information and write and submit the final report after comments from IESE and main partners.

The outputs of the MTR should be, in line with the scope and the work schedule of the MTR:

- 1) An inception report in English;
- 2) A draft report in English of no more than 30 pages, excluding annexes, with an executive summary in English and Portuguese, detailing findings and recommendations;
- 3) A final report in English (with an executive summary in English and Portuguese). This report will later be translated into Portuguese by IESE.



The draft and final reports should address the key questions identified during the inception phase and the fieldwork, which are expected to be in line with the questions defined for the scope of the MTR. Excluding any annexes deemed necessary, the report should be structured into seven main sections:

- 1) Executive summary (summary of main findings, challenges and recommendations);
- 2) Introduction (reference to the context, scope and methodology of the work);
- 3) Institutional development;
- 4) Quality and relevance of scientific activities;
- 5) Role and impact of IESE;
- 6) Challenges ahead;
- 7) Conclusions and main recommendations.

As mentioned before, for each of sections 3-5, it will be necessary to provide a brief description of IESE's experience and progress, a reference to international standards and experiences, challenges and recommendations.

## Composition of the Review Team

The review team will comprise two members, one international consultant and one national consultant. The international consultant will select the national consultant. The international consultant should have experience on institutional development, and should be familiar with the international standards and experiences of independent research centres (including those from the Southern African region), and should have at least a basic knowledge of Portuguese language, Mozambique and the challenges of independent social and economic research in this country. The selection of the international consultant will be done through public tender and decided by the partners in consultation with IESE.

## Documents to submit

Curriculum Vitae

Budget proposal

Calendar of the activities

All documents must be submitted until 15<sup>th</sup> December 2013 at 3.00pm in the following address:

[iese@iese.ac.mz](mailto:iese@iese.ac.mz) (please refer MTR in the email subject)

Or

Instituto de Estudos Sociais e Económicos - IESE

Patrice Lumumba Avenue 178, R/C

Maputo- Mozambique

For any clarification please contact email [iese@iese.ac.mz](mailto:iese@iese.ac.mz)

## Annex 2

## Programme

### Semana de 17 – 21 Março 2014

Data	Hora	Entrevistado	Instituição	Contactos
<b>Segunda - feira</b> 17Mar		Luis de Brito (Director) Salvador Forquilha (Director Adjunto p/ Investigação António Francisco (Investigador Sénior)	IESE	<a href="mailto:Luís.brito@iese.ac.mz">Luís.brito@iese.ac.mz</a> <a href="mailto:Salvador.forquilha@iese.ac.mz">Salvador.forquilha@iese.ac.mz</a> <a href="mailto:António.francisco@iese.ac.mz">António.francisco@iese.ac.mz</a>
<b>Terça feira</b> 18Mar	08:30	Oksana Mandlate – Centro de Documentação	IESE	<a href="mailto:Oksana.mandlate@iese.ac.mz">Oksana.mandlate@iese.ac.mz</a>
	11:00	Sérgio Chichava – Investigador Sénior	IESE	<a href="mailto:Sérgio.chichava@iese.ac.mz">Sérgio.chichava@iese.ac.mz</a>
	14:30	Angela da Cunha - Administradora	IESE	<a href="mailto:Angela.cunha@iese.ac.mz">Angela.cunha@iese.ac.mz</a>
	16:00	Epifânia Langa – Estudante supervisionada	IESE	<a href="mailto:Epifania.langa@iese.ac.mz">Epifania.langa@iese.ac.mz</a>
<b>Quarta- feira</b> 19Mar	08:30	Laura Bott Maurício Sulila	<b>Cooperação Suiça</b> Av Ahmed S. Touré, 637	<a href="mailto:laura.bott@sdn.net">laura.bott@sdn.net</a> <a href="mailto:mauricio.sulila@sdn.net">mauricio.sulila@sdn.net</a>
	11:00	Yasfir Ibraimo - Investigador	IESE	<a href="mailto:Yasfir.ibraimo@iese.ac.mz">Yasfir.ibraimo@iese.ac.mz</a>
	15:30	José Ivo Correia	<b>CEMO</b> Rua Daniel Malinda, nº 38, 1º andar, porta 8	<a href="mailto:jiecorreia@gmail.com">jiecorreia@gmail.com</a>
<b>Quinta- feira</b> 20Mar	0930	Paulina Sarvilahti-Jimenez	<b>Embaixada da Finlândia</b> Av. Julius Nyerere, nº 1128	<a href="mailto:Pauliina.Sarvilahti-Jimenez@formin.fi">Pauliina.Sarvilahti-Jimenez@formin.fi</a>
	11:00	Rosimina Ali - Investigadora	IESE	<a href="mailto:Rosimina.ali@iese.ac.mz">Rosimina.ali@iese.ac.mz</a>
	12:45	Crescencio Pereira – Depart Comunicação e Imagem	IESE	<a href="mailto:Crescencio.pereira@iese.ac.mz">Crescencio.pereira@iese.ac.mz</a>
	17:30	João Mosca OMR – Observatório do Meio Rural	Universidade A Politecnica	<a href="mailto:joao.mosca1953@gmail.com">joao.mosca1953@gmail.com</a>
<b>Sexta- feira</b> 21 Mar	08:30	Nelsa Massingue da Costa – Investigadora e Directora Adjunta para área de Planificação, Recursos e Administração	IESE	<a href="mailto:Nelsa.massingue-dacosta@iese.ac.mz">Nelsa.massingue- dacosta@iese.ac.mz</a>
	10:30	Egidio Chaimite - Investigador	IESE	<a href="mailto:Egidio.chaimite@iese.ac.mz">Egidio.chaimite@iese.ac.mz</a>
	14:30	Rogério Ossemame – Ex investigador – está a trabalhar no DFID	IESE	<a href="mailto:R-Ossemame@DFID.gov.uk">R-Ossemame@DFID.gov.uk</a>

### **Semana de 24 – 28 Março 2014**

<b>Segunda-feira</b> 24 Mar	08:30	Edgar Cossa – Director do SETSAN	MINAG / SETSAN Av das FPLM, 2698, Recinto do IIAM, Pavilhão novo	<a href="mailto:edgarcossa@gmail.com">edgarcossa@gmail.com</a>
	10:00	Ericino de Salema (Director de Acesso a Informação)	IBIS Moçambique Rua Fernão Melo e Castro, nº 124	<a href="mailto:Ericino@ibis.org.mz">Ericino@ibis.org.mz</a>
<b>Ter-feira</b> 25 Mar	09:00	Caroline Ennis (economista e ponto focal do IESE)	Embaixada da Irlanda Embassy of Ireland Av Julius Nyrere 3630	<a href="mailto:Caroline.ennis@dfa.ie">Caroline.ennis@dfa.ie</a>
	11:30	Francisco Noa (Director Executivo)	CESAB Rua do Metical, nº 64, 1º Andar	<a href="mailto:francnoa@yahoo.co.uk">francnoa@yahoo.co.uk</a>
<b>Quarta-feira</b> 26 Mar	11:00h	Antonio Ndapassoa (Rádio Moçambique) Sérgio Mabombo (Revista Capital) Virgilio Conjo (Radio a Politecnica) Gil Filipe Tembe (Notícias)	Será no IESE	<a href="mailto:ndapassoa@gmail.com">ndapassoa@gmail.com</a> <a href="mailto:sergiomabombo@gmail.com">sergiomabombo@gmail.com</a> <a href="mailto:Rolaproducoess@gmail.com">Rolaproducoess@gmail.com</a> <a href="mailto:Gil.Tembe@snoticias.co.mz">Gil.Tembe@snoticias.co.mz</a>
	14:00	Salim Valá – Secretario Permanente - MPD	MPD	<a href="mailto:salimvala.dnpdr@tvcabo.co.mz">salimvala.dnpdr@tvcabo.co.mz</a>
<b>Quinta-feira</b> 27 Mar	08:00	Seminario do IESE -FAN	Hotel Radisson	
	15:00	Rafael Uaiene – Coordenador do Programa no MINAG – Michigan State University	MINAG/ IIAM	<a href="mailto:ruaiene@gmail.com">ruaiene@gmail.com</a>
	10:00	Niels Richter – Conselheiro da Embaixada da Dinamarca – Ponto focal do IESE	Embaixada da Dinamarca Av J. Nyerere, 1162	<a href="mailto:nieric@um.dk">nieric@um.dk</a>
<b>Sexta-feira</b> 28 Mar	12:30	Carlos Castel-Branco – Coordenador do Grupo de Investigação Economia e Desenvolvimento –Membro do Conselho Cientifico. Director do IESE até 2012.	Via Skype	<a href="mailto:Carlos.castelbranco@gmail.com">Carlos.castelbranco@gmail.com</a>
	13:00	Helge Rønning – Professor University of Oslo, Norway	VIA SKYPE	<a href="mailto:helge.ronning@media.uio.no">helge.ronning@media.uio.no</a>
	14:00	Bruno Darsam – Coordenador do grupo de Comunicação e IT do IESE	IESE	<a href="mailto:Bruno.darsam@iese.ac.mz">Bruno.darsam@iese.ac.mz</a>
	15:00	Fatima Lara (membro do Conselho Fiscal do IESE)	Será no IESE	<a href="mailto:Flara2007@gmail.com">Flara2007@gmail.com</a>
	16:00	Assembleia Geral do IESE	IESE	
<b>Quinta-feira</b> 10 April		Bridget O'Laughlin Associate researcher		
		Oscar Marleyn FOS		
<b>Quarta-feira</b> 23 Abril		Marc Wuyts		

## Annex 3 Cost estimate for renting or building premises

Valor em USD

	SOCIMO	BAIXA Mercado	BAIXA Facim
Renda mensal	4.680	11.000	19.250
Anual	56.160	132.000	231.000
Tamanho do espaço m2	550	550	550
Renda mensal / m2	8,5	20	35

*Contrato com a Socimo termina a 30/04/2017*

### Rendimento para o IESE no aluguer de espaço para escritórios

Tamnhno do espaço m2	1.000	750	500
Renda mensal \$15 / m2	15.000	11.250	7.500
Renda anual \$15 / m2	180.000	135.000	90.000
Renda mensal \$10 / m2	10.000	7.500	5.000
Renda anual \$10 / m2	120.000	90.000	60.000

	Indy Village	Hotel VIP
Aluguer da salas		
Capacidade 50 pessoas	720	258
Capacidade 150 pessoas	2.034	1.322

### Rendimento para o IESE no aluguer de salas

	Preço unitario	Ocupação anual de 80 dias
Capacidade 50 pessoas	250	20.000
Capacidade 150 pessoas	1.300	104.000

O plano para um edifício de 1750m2, sendo 750m2 para aluguer e os restantes 1000m2 para o IESE, incluindo salas de reuniões e um anfiteatro.

O custo de construção por m2 que nos foi dado como indicativo seria à volta de 1000-1500 USD/m2, o que poderia significar um custo de cerca de 1 750 000 a 2 600 000 USD.

O aluguer dos 750m2 a outras organizações poderia ser feito a 10 USD/m2, dando um rendimento anual de 90 000 USD/ano.

Se considerarmos que o anfiteatro e salas, não estarão permanentemente ocupadas pelo IESE e restantes organizações,

podem ser alugadas a preços competitivos com os hotéis. Considerando apenas o aluguer do anfiteatro e uma sala, poderíamos ter um rendimento de 120 000 USD/ano.

Ou seja, o rendimento anual de cerca de 200 000 USD amortizaria o investimento em 9/13 anos.