



Preliminary consultation draft - Revised Terms of Reference of Independent Evaluation Arrangement

Purpose

This paper presents the preliminary draft of a Terms of Reference for the Independent Evaluation Arrangement (IEA) as shared with the System Council on 3 March 2017, seeking their initial inputs.

This draft was prepared by CGIAR's Transition Team in April 2016 after several consultations amongst CGIAR's Centers, Funders, the IEA and other key stakeholders, including a 'Science Working Group' led by the CGIAR Transition Team.

Action Requested

Pursuant to Article 8.1(h) of the CGIAR System Framework, the Board is invited to provide strategic inputs on the preliminary draft IEA TOR to feed into the development of a second draft that the Office has been asked to prepare and share with the System Council on 4 April 2017 for further inputs.

Distribution notice:

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Preliminary draft:
Revised Terms of Reference of
the Independent Evaluation Arrangement

Purpose

This document sets out for System Council review and input, the 'Preliminary Draft' Terms of Reference for CGIAR's Independent Evaluation Arrangement ('IEA'), as prepared by CGIAR's Transition Team in April 2016 after several consultations amongst CGIAR's Centers, Funders, the ISPC and other key stakeholders, including a 'Science Working Group' led by the CGIAR Transition Team.

**** Action requested: System Council participants are invited to provide any initial comments on the Preliminary Draft by Friday 24 March 2017.**

A second draft, after taking up any inputs, and any inputs from the System Management Board during its 5th meeting on 28-29 March 2017, will be issued to the System Council on 4 April 2017.

Document category: Working document of the System Council

There is no restriction on the circulation of this document

Prepared by: CGIAR System Management Office, and incorporating Transition Team drafting.

Background

1. The existing Mandate and Institutional Arrangements for CGIAR's Independent Evaluation Arrangement is set out in Chapter 5 of the '*CGIAR Policy for Independent External Evaluation*'¹, with operational effect from 1 February 2012.
2. In anticipation of the transition to a revised CGIAR governance framework by 1 July 2016, and based on several joint meetings of the Funders and the Centers and more detailed meetings of a 'Science Working Group' chaired by the CGIAR Transition Team, a 'Preliminary Draft' of a new Terms of Reference for CGIAR's IEA was prepared in April 2016, and tabled for discussion at a meeting of the Centers and Funders on 2-4 May 2016.
3. That Preliminary Draft is reproduced in Appendix 1 to this paper.
4. By reason that the Funders and Centers agreed to prioritize finalization of the *CGIAR System Framework* (setting out the role of the System Council) and the *Charter of the CGIAR System Organization* (setting out the role of the System Management Board and System Management Office), there was no discussion on the 'Preliminary Draft IEA TOR, 8 April 2016' version at the May 2016 meeting, or subsequently.

Approval process

5. Article 6.1(e) of the CGIAR System Framework provides for the System Council to approve the Terms of Reference of the IEA taking into consideration input from the System Management Board.
6. As a matter of additional background, the 'Information Memo' shared as a companion document with this paper on 3 March 2017 sets out a potential timeline for the approval of a revised TOR for the IEA, taking into consideration the System Council's September 2016 decision to approve a 1 year interim renewal of the Head of the IEA, pending approval of the revised TOR.

¹ <http://iea.cgiar.org/wp-content/uploads/2016/10/CGIAR-Evaluation-Policy-Final-approved-document-effective-February-2012.pdf>

Appendix 1

Draft Terms of Reference for Independent Evaluation Arrangement

(refer ~~Article 14 of CGIAR System Charter, dated April 8, 2016~~)

System Management Office note: Pursuant to the CGIAR System Framework, adopted between the Funders and Centers on 17 June 2016, the role of the IEA is described in the 'Definitions' on page 3

Note from Transition team: The Functions come out of the working groups, and the various inputs received on the preliminary draft of the Framework Document, now CGIAR System Charter

A. Mandate

1. The Independent Evaluation Arrangement is a functionally and operationally independent service formed under the authority of the System Council to provide accountability, contribute to learning and support decision-making through the conduct of independent, external evaluations in order to provide the CGIAR System with objective, contemporary and cost-effective information on the overall performance of CGIAR Research and the functions and structures of the CGIAR System. The purpose, functions and composition of the IEA shall be as set forth under its Terms of Reference, as approved and amended periodically by the System Council with powers duly delegated by the System Council.

B. Functions

2. As requested by the System Council, the IEA shall undertake the following:

Independent evaluation function for accountability

- a) [In consultation with the Centers Consultative Group, the System Administrative Office, the ISPC Chair and the [head of the] Internal Audit Arrangement,] propose for System Council approval a multi-year evaluation framework for CGIAR Research, to be reviewed annually to ensure relevance in light of changed risk and organizational conditions, and that includes periodic evaluations and periodic external governance and management reviews of the Centers;
- b) Plan, design and implement an annual evaluation plan in accordance with the multi-year evaluation framework;
- c) Develop, and periodically revisit and propose revisions if necessary, to the CGIAR Evaluation Policy for approval by the System Council;
- d) Review implementation of evaluation recommendations in subsequent evaluations;
- e) Report on and advise the CGIAR System on lessons learned from evaluations;

Learning and advisory function

- f) Provide learning and evidence from evaluations for the development of each CGIAR Strategy and Results Framework in a manner that ensures that evaluation information feeds into analysis of what has worked or not, thereby providing proactive, temporal input into decisions about future directions;

- g) Support ISPC's review of proposals for CGIAR Research based on lessons learned from evaluations and [propose][support the development within those proposals of appropriate] accountability and learning frameworks [to be included in such proposals];
- h) Guide and support the CGIAR System to develop and implement a consistent and cost-effective contemporary evaluation culture;
- i) Facilitate evaluation quality and effectiveness across the CGIAR System;
- j) Support the development of criteria for science quality, relevance and performance for CGIAR Research; and
- k) Undertake such other functions as may be directed by the System Council.

C. IEA team, budget and operational support

- 3. A secretariat comprised of a small team of professional and administrative staff, shall support delivery of the IEA function.
- 4. The System Council, on the recommendation of the Strategic Impact and Evaluation Committee, will select the head of the IEA according to a merit-based, open and competitive selection process. He/she will serve for a term of [x] years, which may be renewed once by the System Council in its discretion for up to an additional [x] years.
- 5. The head of the IEA reports to the System Council through the Strategic Impact, Monitoring and Evaluation Committee. The IEA Head may address himself/herself directly to the System Council Chair, if the Head of the IEA considers it necessary.
- 6. The hosting arrangements for the IEA, including arrangements for staffing of the secretariat, shall be reflected in an agreement with the hosting organization, the Food and Agriculture Organization of the United Nations, to be approved by the System Council. 8. Annually, the System Council shall approve a budget and work plan with objectives and deliverables for the IEA function as part of a consolidated budget and work plan for the CGIAR System and its advisory bodies to be developed by the ~~System Administrative Office~~ System Management Office in collaboration with IEA and other advisory bodies.
- 7. Annually, the System Council shall approve a budget and work plan with objectives and deliverables for the IEA function as part of a consolidated budget and work plan for the CGIAR System and its advisory bodies to be developed by the ~~System Administrative Office~~ System Management Office in collaboration with IEA and other advisory bodies.

D. Engagement of other parties

- 8. The head of the IEA represents the IEA in dealing with others, unless he/she has specifically tasked another staff member to serve as a focal point on a particular matter.
- 9. The head of the IEA will participate in meetings of the Strategic Impact, Monitoring and Evaluation Committee meetings in accordance with that committee's charter.
- 10. The head of the IEA will coordinate with the Strategic Impact, Monitoring and Evaluation Committee Chair on the matters, methods and periodicity of reporting to the System Council.
- 11. The primary focal point for the IEA in the ~~System Administrative Office~~ System Management

Office is the Executive Director or such other staff member that he/she nominates.

E. Self-assessment of performance

12. The IEA shall undertake and submit an annual assessment of its own performance to the Strategic Impact, Monitoring and Evaluation Committee, which shall review the self-assessment, and evaluate the IEA's effectiveness in fulfilling its functions under this terms of reference, and respond accordingly.
13. The System Council will assess annually the head of the IEA's individual performance.