



**Agenda Item 7**  
**For strategic direction**

Issued: 4 May 2017

Draft 2:  
Revised Terms of Reference of  
the Independent Evaluation Arrangement

Purpose

This document sets out for System Council review, a 'Draft 2' version of the proposed Terms of Reference for CGIAR's Independent Evaluation Arrangement ('IEA'), based upon a preliminary draft 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, and after a first round of input from System Council members and active observers received by 31 March 2017. To aid in review, a companion document, titled "Accountability Matrix" (document: SC4-07D) sets out inputs received and how these inputs have been addressed in the Draft 2.

**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 and inputs from the System received by 31 March 2017.

## 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*'<sup>1</sup>, 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. To take development of the terms of reference forward, System Council inputs were sought on that preliminary draft by request dated 3 March 2017.
4. This "Draft 2" version, set out at Appendix 1, is shared for System Council review having addressed the inputs received by 31 March on the preliminary draft. To aid review, changes from that earlier draft are shown in "track changes". In addition, a very number of other grammatical/typographical changes were made, which are not shown. Items that are shown in [yellow square brackets] are highlighted for specific input having regard to the comments in the "Accountability Matrix" that is shared as a companion document to this paper.

## 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. For System Council consideration is when the appropriate time is to consider moving to approval of the TOR, taking into account the discussions at the forthcoming System Council meeting.

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

Appendix 1  
Draft Revised Terms of Reference for  
CGIAR's Independent Evaluation Arrangement

**A. Mandate**

1. The Independent Evaluation Arrangement ('IEA') 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 [its delivery on the Strategy and Results Framework \('SRF'\)](#), 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 purposes*

- a) In consultation with the [General Assembly of Centers](#), the System Management Office, the Independent Science and Partnership Council ('ISPC') Chair, and the [head of the] Internal Audit Function, 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 which includes periodic evaluations and periodic external governance and management reviews of the Centers [as necessary taking into account Center's-own evaluation programs and outcomes](#);
- b) [In consultation with the relevant parties](#), 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 [taking into account relevant management responses and action plans](#), and periodically provide a [progress update on the status of implementation of agreed actions to the System Council's Strategic Impact, Monitoring and Evaluation Committee \('SIMEC'\)](#);

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**Deleted:** 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 for the purpose of ensuring the inclusion within those proposals of appropriate accountability frameworks and learning;
- 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; and  
[proposed to be deleted]
- j) Undertake such other functions as may be directed by the System Council within the context of approved multi-year and annual work plans.

**Deleted:** and

**Deleted:** [propose][support the development

**Deleted:** ]

**Deleted:** frameworks [to be included in such proposals]

**Deleted:** Support the development of criteria for science quality, relevance and performance for CGIAR Research; and

**Deleted:** ¶

**C. IEA team, budget and operational support**

- 3. A unit 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 SIMEC, 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 [4][3] years, which may be renewed once by the System Council in its discretion for up to an additional [4][3] years.
- 5. The head of the IEA reports to the System Council through the SIMEC. The IEA Head may address himself/herself directly to the System Council Chair if he/she considers it necessary.
- 6. The hosting arrangements for the IEA, including arrangements for staffing of the support unit, 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. [duplicated item 7 below]
- 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 Management Office in collaboration with IEA and other advisory bodies.

**Deleted:** 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 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 matter.
9. The head of the IEA will participate in meetings of the SIMEC in accordance with that committee's terms of reference.
10. The head of the IEA will coordinate with the SIMEC Chair on the matters, methods and periodicity of reporting to the System Council.
11. The primary focal point for the IEA in the System Management Office is the Executive Director or such other staff member that he/she nominates.

**E. Ethics and conflicts of interest**

12. All IEA secretariat staff shall comply with the IEA Conflict of Interest Policy (which policy shall be consistent with the approved CGIAR policy on ethics and conflicts of interest) and abide by the IEA procedures for managing conflicts of interest.

**F. Self-assessment of performance**

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