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Annex 1: Budget materials for Sub-group 1 entities:
System Council and advisory functions budget group

Purpose

This document sets out, as an additional information source in support of document SC5-09B “System Entity Budgets 2018”, the following budget and work program materials for 2018 as provided by each of the System entities that make up budget sub-group 1 (System Council and advisory functions).

Item	Entity	Pages
1A	CGIAR System Council Chair Support	2-3
1B	Scientific Advisory - ISPC	4-7
1C	Evaluations - IEA	8-16

Action Requested

These materials are provided for background information only.

Document category: Working document of the System Council

There is no restriction on the circulation of this document

Cover note prepared by: System Management Office

Resources prepared by: World Bank; ISPC; IEA

CGIAR System Council Chair Support

Actual Costs for CY2016 and CY2017 and Proposed Budget for CY2018

Background

The Terms of Reference for the System Council Chair as approved by the System Council provides for budgetary and operational support. To quote section 6, of the TOR:

- g. To support the Chair, the World Bank expects the Council to approve an annual budget allocated to the Chair, subject to an end-of-year adjustment. Such budget may be used to cover World Bank costs related to the Chair's travel in exercising his/her role and responsibilities, in addition to other costs in support of the Chair, including non-Chair World Bank staff costs, travel and other variable expenses. The World Bank will not seek to recover salary and benefits associated with the Chair's time spent on Council activities*
- h. The World Bank will follow its own policies and procedures for managing and reporting on budget and actual costs related to the aforementioned approved budget.*
- i. The World Bank and the System Organization will enter into an agreement to provide for (i) the support of the System Management Office provided to the Chair and (ii) the procedures of transfer of budget approved to support the Chair.*

Approved Budgets and Outcomes

Table 1 below shows CY2016 budget as approved by the System Council for Chair Support Services for the period October 1 to December 31 2016.

Table 1 Approved vs Actual Chair Support Services Budget CY2016 (USD)

Cost Item	Approved	Actual spend	Under/(over) spend
Personnel ⁱ	130,000	62,155	67,845
Travel	20,000	3,488	16,512
Total	150,000	65,634	84,357

Table 2 below shows the CY2017 budget as approved by the System Council for Chair Support Services, the actual budget calculated as of September 30, 2017, and estimated as of December 31, 2017.

Table 2 Approved vs Actual Chair Support Services Budget CY2017 (USD)

Cost Item	Approved	Best Estimate Actual spend	Under/(over) spend
Personnel	520,000	323,571	196,429
Travel	80,000	41,853	38,147
Total	600,000	365,424	234,576

Table 3 below shows the projected costs for Chair Support Services to be provided by the World Bank from January 1, 2018 to December 31, 2018.

Table 3 Proposed Chair Support Services Budget January 1, 2018 to December 31, 2018 (USD)

Cost Item	Proposed Budget
Personnel	305,000
Travel	60,000
Total	365,000

Commentary

The substantial cost savings on the approved budgets for CY2016 and CY2017 of 56% and 39% respectively were due to a number of factors. The actual staff time required to provide all necessary support to the Chair has been carried out more efficiently than anticipated in the original budget projection. Also, savings on travel costs have been achieved through sharing costs of the Chair and support staff with other World Bank operational travel by combining trips and splitting costs with other charge codes.

Consequently, the proposed budget for CY2018 has been set at the actual estimated cost of CY2017 on the assumption that the workload has reached steady state. Notwithstanding any unplanned additional support requirements, this will be about the same year on year.

Chair support activities

These include:

- Review of CGIAR documentation and preparation of briefing on relevant technical, governance and administrative matters for the Chair to be fully informed at all times regarding CGIAR work and progress.
- Liaison with SMO, ISPC and IEA on matters relating to System Council business including setting meeting agendas, feedback on documentation, identifying external speakers, and preparation of the Chair's System Council briefing materials.
- Attending intersessional System Council meetings and participation in other CGIAR convened meetings and events (e.g. ISPC, IEA, CRP, SIMEC, FEWG, GCARD etc).
- Contributions to speeches, talking points and briefings for external and internal World Bank meetings and events with relevance to CGIAR.
- Interactions with World Bank Executive Directors and Board on financial support to CGIAR and exploration of innovative finance mechanisms.

ⁱ Personnel includes World Bank staff time charges and short term consultants when necessary.

ISPC WORK PLAN AND BUDGET 2018

OCTOBER 2017

The Independent Science and Partnership Council of the CGIAR (ISPC) provides advice on science and partnership strategies to the System Council to enhance their capacity to support effective agricultural research programs for development. The following document presents the ISPC Work Plan and Budget for 2018 (WPB_18).

The continuing evolution of the CGIAR System, including the nature and scope of the ISPC work program, is reflected in our proposed work program for 2018. We continue to use the draft TORs that were developed by the science working group of the transition team, clarified by the ISPC theory of change which we developed in 2016. However, for WPB_18 we have adapted our workstreams to emerging demands. First, we have cut the independent program review work from its peak of \$105,000 in 2016, to \$20,000 in 2018 (which does not include the additional cost reductions achieved through reduced council time), since there are no major review activities planned for 2018. Second, instead of having a stand-alone work program on innovation and partnership, we have integrated those activities into the foresight and prioritization, science dialogue and impact assessment workstreams to enhance their potential to contribute to development outcomes. Finally, all workstreams have activities contributing to the joint ISPC/CGIAR, FAO, IFAD, World Bank LSMS initiative that aims to coordinate agricultural research and investments to meet SDGs 1 and 2 (JI in the following).

This year ISPC is presenting two different budget scenarios for System Council consideration given the ongoing discussions on the nature and extent of the ISPC work program – as well as the overall need within the System to tighten budgets.

The first budget scenario (Scenario 1) has a total budget request of USD 3.138 million from CGIAR funds, representing a reduction of 11% over the 2017 budget. The second budget scenario (Scenario 2) has a total budget request of USD 2.940 million from CGIAR funds, representing a reduction of 16% over the 2017 budget.

The main difference between the two budget scenarios is that while Scenario 1 includes significant budget cuts in ISPC council time, travel and operating costs, as well as Independent Program Review, Science Dialogue and Innovation and Partnership workstreams budgets; the Foresight and Prioritization and Impact Assessment workstreams maintain the same budget as 2017. Scenario 2, includes budget reductions of 15% for Foresight and Prioritization and the Impact Assessment workstreams. For this reason the deliverables under those two workstreams under Scenario 2 are also reduced. In addition, Scenario 2 includes a cost-sharing arrangement with IEA by mid-2018 which will reduce our administrative costs by 9%.

In the following page we detail the planned 2018 outputs by workstream under the two scenarios.

Scenario 1: Total budget request \$3.138 million

Foresight & Prioritization: The main thrust of the foresight activity in 2018 will be to develop scenarios for CGIAR that will help identify plausible futures and their implications for the direction of CGIAR. The ISPC will facilitate a CGIAR system wide scenario building exercise that will utilize the analysis of trends and projections developed in 2017 under the foresight workstream. It will also utilize the scenario building expertise already present in the system (at SMO and in CRPs) as well as link to other relevant efforts (GFAR, CIRAD, Oxford University). Major activities are:

- Preparation of background documents
- Two System-wide scenario building workshops

The prioritization work will focus on the development of a set of studies that look at the comparative advantage of the CGIAR in its major research areas. These studies would be synthesized into a final report that would indicate the implications of the study results for prioritizing CGIAR research.

- Analysis of CGIAR comparative advantage in major research areas

Independent Program Review: In 2018, these workstream activities are expected to be minimal and thus the item has a minimum budget. No major activities are planned.

Science Dialogue: In 2018, the major activity in this workstream will be the organization of the Science Forum, co-hosted by the Agricultural Research Council of South Africa. The Forum topic is “*Are triple wins possible? Foreseeing opportunities and unpacking interlinkages between potentially competing development goals*”. The workstream activities will be closely linked to those of the foresight workstream. The main activities include:

- Commission background papers (coordinated with activities of the JI)
- Organize three scenario consultations/workshops (also coordinated with foresight workshop)
- Implement interactive process to build a dialogue with policy-makers (including SC members) into the analytical process

Under this workstream, the ISPC will also continue the dialogue towards System-wide agreement on the nature and assessment of quality of research for development (QoR4D). The following activity is planned:

- Preparation of a glossary to facilitate common use of language across the System with respect to new, upcoming terms or existing terms for which there is not yet common understanding

Impact Assessment: Assuming that no further external funding is obtained under the SIAC program for 2018, SPIA will focus on consolidating and communicating the results of studies conducted under SIAC and to continue to support institutionalizing impact assessment in the CGIAR. Main activities include:

- Finalize, via external peer reviews, the studies conducted under SIAC
- Comparative analysis and synthesis of findings from SIAC and other recent evidence
- Develop and implement novel approaches to communicating results to stakeholders in ways that support informed decision making
- Expand the CGIAR community of practice on impact assessment to include not only IA specialists but also users of IA findings within CRPs and centres
- Conduct a series of workshops to support dissemination and uptake of IA findings (including but not limited to SIAC) by key audiences within CGIAR research programs
- Conduct capacity building events

In 2018, activities on **Agri-Food System Innovation and Partnership** are being integrated across all other ISPC workstreams to enhance the capacity of each in furthering the role of the CGIAR in innovation processes. The main activities planned are the development of reports and notes on i) enabling new transformational pathways through frontier science as part of the Foresight and Prioritization activities; ii) monitoring and addressing unintended consequences of agri-food systems' transformation integrated with SPIA and iii) best practice for multi-stakeholder partnership development integrated into Prioritization and Science Dialogue activities. Country coordination activities implemented through the joint ISPC/CGIAR, FAO, IFAD, World Bank initiative to manage agricultural research and investments to achieve SDGs 1 and 2, will, concomitantly, enhance the engagement of ongoing and new CGIAR research activities with strategic country partnerships to address the systemic type of challenges defined by the SDGs.

Scenario 2: Total budget request \$2.940 million

Under this reduced budget scenario, the Foresight and Prioritization and Impact Assessment workstreams have reduced budgets and thus reduced deliverables. The deliverables that will be dropped under this scenario are the following:

Foresight & Prioritization:

- Analysis of CGIAR comparative advantage in major research areas

Impact Assessment:

- Reduction in the number and extent of capacity building events

IEA Program of Work and Budget for 2018



Independent
Evaluation
Arrangement

IEA PROGRAM OF WORK AND BUDGET FOR 2018

October 2017

IEA 2018 program of work and budget

Contents

Introduction	2
1 Revision of the Evaluation Policy	3
2 Guidelines for evaluation.....	3
3 Multi-Year Evaluation Plan	4
4 Other activities.....	5
5 Resources and Budget for 2018.....	6
6 Detailed budget	7
Annex 1 - Evaluations and Reviews completed since Establishment of IEA	8

IEA 2018 program of work and budget

INTRODUCTION

Establishment of the Independent Evaluation Arrangement (IEA) of CGIAR in 2012 marked the separation of evaluation from science advice on policy and programs. The proposed IEA work plan for 2018 is prepared on the premise that CGIAR will maintain an evaluation function as an independent function in its governance structure put in place mid-2016, irrespective of how this function is structurally and administratively positioned.

The IEA has implemented CGIAR's Evaluation Policy¹ with a mandate for (i) evaluations at the level of the CGIAR System and (ii) facilitating evaluation quality and effectiveness across the CGIAR System.

The CGIAR Framework and Charter highlight the importance of developing a coordinated, cost-effective system of evaluations and reviews for CGIAR. While CGIAR System Council is considering how best to organize its independent advisory services in the future, IEA considers that, regarding evaluation, the objectives stated in the two CGIAR foundational documents remain valid.

The 2018 program of work and budget (PWB) is therefore designed to serve CGIAR and its evaluation needs in the interim and under any structural and administrative changes the advisory services may undergo.

Independent evaluation function serves three important purposes:

- (i) **Credibility** of CGIAR as a reputable organization fulfilling its mandate, serving the interests of investors, partners, beneficiaries and the public at large.
- (ii) **Accountability** to CGIAR decision-makers and stakeholders; that Centers and Programs are run and perform efficiently and effectively and account for the public funding they receive
- (iii) **Learning**; that CGIAR Centers and programs internalize a culture of continuous learning of what works, what does not work and why with an aim of improvement through adaptive management

This document presents IEA's work in 2018 to:

- (1) develop a revised Evaluation Policy in line with the CGIAR's current governance structure and reflecting System Council decisions on scope and institutional arrangements of CGIAR's independent evaluation function.
- (2) prepare guidelines for streamlined, cost-effective CRP evaluations that complement other elements of RBM.
- (3) develop a multi-year evaluation plan responding to the System's needs for timely evidence of programmatic progress and to initiate programmatic evaluations
- (4) strengthen management of evaluations; coordination within CGIAR and Contribute to on-going work for developing an integrated performance management system in CGIAR]

¹ Endorsed by the Fund Council in 2012.

IEA 2018 program of work and budget

1 REVISION OF THE EVALUATION POLICY

The Evaluation Policy is a CGIAR System-wide policy that governs the evaluation function and activities at different levels of the System. The current Policy is from 2012 and it was adopted by the System Council in 2016 with no changes in its content. Given the governance transition and experiences gained from evaluations conducted to-date (see Annex 1), IEA proposes that a revised Evaluation Policy be developed for CGIAR to reflect the needs and arrangements of CGIAR evaluation going forward. Towards this end, IEA prepared a Position paper that presents a vision for a streamlined, needs-oriented and cost-effective evaluation system for CGIAR.²

The System Council will in its 5th meeting decide on the scope and institutional arrangement for independent evaluation function, which is aligned with the governance system and the System's needs following 2016 transition. The Evaluation Policy will need to be revised for the new context.

Work on the Evaluation Policy will require collaboration with SMB to plan how Center management reviews are appropriately integrated with programmatic evaluation. The IEA considers that this is needed, given that Center Boards have oversight responsibility for their Center's performance, and in the CRPs, Centers are responsible particularly for project portfolio, science quality and partnerships and ultimately collectively for the performance of the CRPs. IEA considers that in programmatic evaluations of CRPs the work of Centers will need to be more explicitly assessed.

Following the decisions of the System Council and the preparatory work, IEA proposes to draft the new Evaluation Policy for consultation and endorsement in 2018.

2 GUIDELINES FOR EVALUATION

In the first round of CRPs, IEA applied a harmonized set of evaluation criteria across all evaluations and provided systematic guidance to evaluation teams for addressing these criteria. IEA also developed Guidelines for the entire evaluation process, covering all stages of evaluation, to be used both in System- and CRP-level evaluations for enhancing the professionalism and consistency of evaluations³.

IEA has synthesized the experiences of CRP evaluations regarding all important aspects of program performance⁴. It has held working consultations on considering quality of science⁵ and theories of

² IEA Position Paper: Proposal for a cost-effective and utility-focused evaluation system in CGIAR. IEA, July 2017.

³ <http://iea.cgiar.org/resources/guiding-documents/>

⁴ Birner, R., Byerlee, D., 2016. Synthesis and Lessons Learned from 15 CRP Evaluations. Independent Evaluation Arrangement (IEA) of CGIAR, Rome, Italy

⁵ IEA workshop on evaluation quality of science. Rome 10-11 December, 2015. http://iea.cgiar.org/wp-content/uploads/2016/10/Report_QoSWorkshop-final-1.pdf

IEA 2018 program of work and budget

change in evaluations⁶.

IEA will prepare guidance for evaluation of all aspects of programmatic performance, including the dimensions of quality of research, as formulated in consultations led by the ISPC⁷, and impact, which in evaluations is assessed for the adequacy of documentation and extent of impact demonstrated. IEA will also prepare guidance to assist Centers and CRPs to conduct auto-evaluations that can feed into Results-Based Management (RBM) and program-level evaluations. The linkages between evaluation and other elements of RBM, including continuous performance management and monitoring, will be made explicit.

IEA's work on guidance aims at enhancing the cost-efficiency and effectiveness of evaluation, and focus on credible, evidence-based assessment of programmatic progress towards SRF.

IEA will also work with the SMB and the System Council to agree on a streamlined process for discussing evaluation and endorsing recommendations for decision-making. This will include development of new communications formats that best serve the needs of funders.

3 MULTI-YEAR EVALUATION PLAN

3.a Developing Multi-Year Evaluation Plan

Following the System Council decision at its 5th meeting on the scope of evaluations and frequency of programmatic evaluation, suggested to occur in a 4-year cycle, IEA will develop a multi-year evaluation plan fully aligned with CGIAR's new business plan and schedule.

As preparatory work for drafting a new Evaluation Policy for CGIAR, IEA will complete mapping of recent evaluative studies including impact assessments to present a comprehensive picture of evaluative information of CGIAR research and its effectiveness for identification of strengths and gaps. This work is done in collaboration with SPIA.

IEA will also consult with Centers, CRPs, SPIA and donors to develop a Repository of Evaluative Studies to confirm the total volume of evaluative studies and review going on and to enhance synergy and use of evaluative information of good quality.

3.b Cycle of program evaluations in CGIAR – next phase

In mid-2018, IEA proposes to initiate the first two program evaluations to be completed in 2019 and start the preparation of 2019 evaluations in order to have all current CRPs and platforms evaluated within the first 4 years of implementation of CRP II.

⁶ IEA workshop on development, use and assessment of TOC in CGIAR research. Report. Rome 12-13 January 2017. URL

⁷ Relevance, scientific credibility, legitimacy, effectiveness

IEA 2018 program of work and budget

The IEA's tentative proposal for the sequence of CRP evaluations, the planning of which is proposed to start mid- 2018, is presented in Table 1, together with an analysis of the criteria used.

Program evaluations will initiate following the new approach and guidelines to be developed by IEA in early 2018. The new approach will reflect a streamlined process and evaluation scope on targeted questions. The proposed cycle below will be finalized following discussions and prioritization by SC/SIMEC.

Table 1 Sequence of Program evaluations in CRPII

CRP	Evaluated in	Change of program structure/focus since CRPII	ISPC rating on CRPII proposal
Evaluations to be initiated in 2018			
FISH	2015	New CRP	Overall B+ (Flagship 3 weak)
FTA	2013		Overall B+ (flagship 2 weak)
Evaluations for 2019			
LIVESTOCK	2015	New CRP	Overall B+ (flagship 5 weak)
MAIZE	2014		A- (flagship 5 weak)
A4NH	CCEE 2015		A
EXCELLENCE in BREEDING	NA	New	A-
WHEAT	2014		A-
Evaluation for 2020			
PIM	2015		A-
RTB	2015		A
WLE	2015		Overall A- (flagship 5 weak)
CCAFS	2015		A
GRiSP/ RICE	2016	Slight	A
Genebanks	2016	Expanded	A
BIG DATA	NA	New	A

Livestock and Fish programs were initially approved as one program (CGIAR Research Program on Livestock and Fish- L&F) and have since been split into 2 programs. The L&F CRP was evaluated in 2015

4 OTHER ACTIVITIES

The IEA includes in its 2018 PWB also the following activities that are aimed at strengthening the management of evaluations, coordination among professional evaluation bodies elsewhere and coordination among other functions of independent advice in CGIAR.

- Together with ISPC, IEA will continue updating and expanding the joint IEA/ISPC expert roster (administered at IEA) that serves the purposes across the independent functions that require

IEA 2018 program of work and budget

external expertise on science, R4D, evaluation and impact assessment. This roster represents the institutional memory of the two bodies.

- IEA will collaborate with the Rome-based agencies in setting up an agriculture- and food security- related evaluation network with a special aim of monitoring progress towards SDG2. This work is closely related to the CGIAR's efforts to monitor its contributions towards the SDGs.
- IEA will continue its collaboration with the SMO and the Monitoring, Evaluation and Learning Community of Practice to strengthen the role and utility of evaluation in results management and reporting.

5 RESOURCES AND BUDGET FOR 2018

The total IEA budget for 2018 amounts to **US\$ 970,000** to be administered through FAO. The budget represents a 50% reduction compared to the 2017 budget.

The work planned for 2018 is largely done internally by IEA staff thus allowing for an overall staff reduction compared to previous years. As programmatic evaluations will start in 2019, non-staff cost (subject-matter experts and external evaluators) will increase in 2019, changing the structure of the overall budget.

From mid-year, the staff capacity will be reduced of one position and will consist of two professional (including the Head of IEA) and one administrative assistant. Also starting mid-year, the cost of one administrative assistant will be shared with the ISPC secretariat. However, for ease of accounting, the full cost is reflected in IEA budget.

IEA 2018 program of work and budget

6 DETAILED BUDGET

Expense Item	2018 Budget
IEA activities	
1. 2018 Plan	
Revision of CGIAR Evaluation Policy	
Development of Guidelines for evaluations	
Development and coordination for CGIAR Multi-Year Evaluation Plan and Mapping of Evaluative Evidence	
Development of evaluation resources and tools – expert roster, CGIAR evaluation repository	
Preparatory work for 2019 programmatic evaluation	
Initiation of two CRPII Evaluations	
Sub-Total IEA Activities	290,000
2. 2018 Activities in support of coordination and enhancing evaluation quality and culture	
Linkages with CGIAR MEL systems – RBM, IA, SMO reporting, MELCOP	
Collaboration/coordination with Rome based food and agriculture agencies on evaluating progress to SDG2	
Sub-Total 2018 Activities	70,000
3. Other activities	
Communications	10,000
Sub-Total Other activities	10,000
Personnel inputs	
Professional	460,000
Administrative Support	90,000
Sub-Total FTE	550,000
Travel	38,000
Operating Expenses	12,000
Overhead charges	
Sub-Total travel and Operating expenses	50,000
TOTAL costs	970,000

IEA 2018 program of work and budget

ANNEX 1 - EVALUATIONS AND REVIEWS COMPLETED SINCE ESTABLISHMENT OF IEA

Evaluation	Type	Year Evaluated
Forests Trees and Agroforestry (FTA)	CRP Evaluation	2013
CRP Governance and Management review	Cross-cutting review	2014
Generation Challenge Program	Challenge Program review	2014
WHEAT	CRP Evaluation	2014
MAIZE	CRP Evaluation	2014
Policies, Institutions, and Markets (PIM)	CRP Evaluation	2015
Climate Change, Agriculture, and Food Security (CCAFS)	CRP Evaluation	2015
Aquatic Agricultural Systems (AAS)	CRP Evaluation	2015
Roots, Tubers, and Bananas (RTB)	CRP Evaluation	2015
Water, Land, and Ecosystems (WLE)	CRP Evaluation	2015
Global Rice Research Partnership (GRiSP)	CRP Evaluation	2015
Agriculture for Nutrition and Health (A4NH)	CCEE* with IEA quality support	2015
Humidtropics	CCEE with IEA quality support	2015
Grainlegumes	CCEE with IEA quality support	2015
Dryland Cereals	CCEE with IEA quality support	2015
Dryland Systems	CCEE with IEA quality support	2015
Livestock and Fish	CRP Evaluation	2015
Genebanks	Program Support	2016
Synthesis of lessons learned from CRP evaluations	Synthesis study	2016
Strengthening Impact Assessment in CGIAR (SIAC)	Project evaluation	2016
Partnerships in CGIAR	Cross-cutting evaluation	2016
Capacity Development activities in CGIAR	Cross-cutting evaluation	2016
Gender in Research and in CGIAR workplace	Cross-cutting evaluation	2016
Results based Management in CGIAR	Cross-cutting evaluation	2017
Open Access Policy and Implementation support	Review	2017
Intellectual Assets Policy of CGIAR	Review	2017
Independent Science and partnership Council	CGIAR body evaluation	2017

* CCEE: CRP Commissioned External Evaluation