



Exhibit 2, SC3-04

## IEA PROGRAM OF WORK AND BUDGET FOR 2017

WITH ANNEXES ON:

- IEA THEORY OF CHANGE
- CONCEPT NOTE FOR 2018 SYSTEM-WIDE EVALUATION

**October 2016**

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# IEA 2017 program of work and budget

## SUMMARY

The proposed IEA work plan for 2017 builds upon the collective body of evidence and knowledge gathered to date, focuses on System structures and functions that have not been evaluated yet and on preparation for the 2018 System-wide evaluation.

The main areas of work include:

- (1) Providing essential evaluative information concerning selected CGIAR System entities (ISPC, IEA<sup>1</sup>); CRP processes (results based management); and System policies (Intellectual Assets and Open Data).
- (2) Enhancing the evaluation culture, capacity and coordination in the CGIAR for developing a multi-year evaluation plans and for contributing to a cost-effective and complementary evaluation system in CGIAR.
- (3) Preparing for the System-wide evaluation to be commissioned in 2018.

### Resources required:

The total IEA budget for 2017 amounts to **1,880 million** to be administered through FAO. The budget for 2017 reflects a significant effort to prepare for the 2018 System-wide evaluation. The budget for 2017 represents a reduction from previous years due to three main reasons: the number of evaluations to be conducted by external teams is small; the evaluations planned are smaller by scope and cost than CRP evaluations; and large part of IEA activities in 2017 (SWE preparation and work on evaluation culture and coordination) will be mostly done by IEA staff.

### The IEA seeks System Council approval for:

- **workplan and budget for 2017 as summarized above and described in this document;**
- **schedule for a System-wide Evaluation in 2018**

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<sup>1</sup> To be commissioned by a System Council steering committee

# IEA 2017 PROGRAM OF WORK AND BUDGET

## INTRODUCTION

The Independent Evaluation Arrangement (IEA) of CGIAR implements CGIAR's Evaluation Policy with a mandate for (i) evaluations at the level of the CGIAR System and (ii) facilitating evaluation quality and effectiveness across the CGIAR System. This dual-mandate is reiterated in the current draft of TORs for IEA.

The CGIAR's new governance structure maintains the IEA's mandate, and reporting line to the System Council (SC). The new foundational documents of the CGIAR - Framework and Charter - highlight the importance of developing a coordinated, cost-effective system of evaluations and reviews for CGIAR. Furthermore, a cost-effective, multi-year evaluation plan covering evaluations of the CGIAR Portfolio and the structures and functions of the CGIAR System Organization has been defined as a priority action for the SC to review and approve in 2017. To contribute building such a system, IEA will need to coordinate closely with CRPs to develop CRP evaluation plans, as well as with System Management Board (SMB), Centers and donors to develop a schedule of evaluations across CGIAR. IEA will also continue efforts to develop a consistent evaluation culture across the CGIAR to enhance quality, cost-efficiency and effectiveness of evaluations.

The IEA's evaluation function serves accountability and learning for effectively contributing to decision-making at different levels in CGIAR. The IEA's Theory of Change (TOC), in Annex 1 of this document, presents the impact pathways for IEA's main activities and key assumptions concerning the use and influence of IEA's results for learning and decision-making.

This document presents:

- (1) IEA's 2017 plan of evaluations to provide essential evaluative information on cross-cutting areas, beyond specific CRP research through evaluating: (a) CGIAR System entities (ISPC, IEA); (b) CRP processes (results based management); and (c) CGIAR System policies (Intellectual Assets and CGIAR Open Access and Data Management Policy)
- (2) IEA's 2017 activities other than evaluations, which include supporting and enhancing an evaluation system and culture in CGIAR; and
- (3) Proposal for the System-wide evaluation in 2018 and plan for its preparation in 2017.

## 1 2017 IEA EVALUATION PLANS

In 2016, the IEA brings the evaluations of the first phase of CGIAR Research Programs (CRPs) into completion, including the Genebanks CRP, and addresses three main cross-cutting topics through thematic evaluations; those on Capacity development, Gender and Partnerships. Thus it completes a cycle of program and thematic evaluations as the Phase I of CRPs is coming to an end. The completion of the thematic and Genebanks CRP evaluations is scheduled for January 2017. Following formal submission of the reports to the System Council, IEA will disseminate the reports and initiate communication efforts to highlight the findings and recommendations with a broad range of stakeholders.

Given that the CGIAR's governance reform takes place in 2016 and that the implementation of the Phase II program portfolio of CRPs and Platforms begins in 2017, the IEA considers it premature to start a System-wide evaluation in 2017, as planned in IEA's first (2014-2017 ) Rolling Evaluation Work Plan (REWP) approved by the Fund Council in 2013. In 2017, the IEA proposes to conduct evaluations of selected CGIAR entities, policies and functions that form essential part of the System, and need to be evaluated in preparation of the System-wide evaluation that the IEA proposes for 2018 (see concept note for the System-wide evaluation in Annex 2).

Evaluations proposed for 2017 focus on components of CGIAR System that were established in the Reform and have been in place long enough to allow for its evaluability. These include evaluation of the two independent advisory bodies, IEA and ISPC, and evaluation of selected policies and functions. These evaluations will be essential components of the System-wide evaluation. However, the evaluations can be conducted separately from the System-wide evaluation and require specific expertise and arrangements.

### 1.1 Evaluations of System entities

ISPC and IEA were created in the Reform with specific mandates to provide independent advice to the Fund Council while serving the strategic and management information needs of the Consortium, Centers and CRPs. By 2017, the ISPC will have been involved in two cycles of developing the Strategy and Results Framework (SRF) and CRP appraisal, in addition to its other mandated responsibilities. The IEA will have completed evaluations of all CRPs in Phase I and strategically important cross-cutting themes. Conducting the evaluations in parallel is proposed in order to provide an opportunity to assess collaboration and complementarity of these two System entities and their respective functions as well as to provide lessons for enhanced cooperation.

#### 1.1.1. [Independent Science and Partnership Council \(ISPC\)](#)

In the 2008 Reform, the ISPC was established with a somewhat different mandate and scope of work from those of its predecessor, the Science Council. The ISPC was to provide independent scientific advice and expertise to the CGIAR Fund Council; to serve as an intellectual bridge between CGIAR funders and implementers, and to catalyze partnerships with other international agricultural research institutions.

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The ISPC is mandated to operate in four main areas of activity: (1) Strategy and Trends, by conducting strategic studies on emerging issues in agricultural science to inform the prioritization of research; (2) Independent Program Review, by providing advice to the Fund Council on the scientific credibility and investment worthiness of program proposals, as well as aspects of CGIAR policy; (3) Mobilizing Science and Partnerships, by international dialogue on critical emerging issues and through cultivating partnerships between the CGIAR and collaborators worldwide; and (4) Impact Assessment, by providing CGIAR with timely, objective and credible information on the impacts at the system level of past CGIAR investments and outputs.

The evaluation will assess the advisory role, performance and effectiveness of the ISPC in the four areas of activity by reviewing ISPC's contributions to CGIAR in areas such as the development of Strategy and Results Framework, program and portfolio appraisal, prioritization and strategic foresight, taking into account what is done in these areas in other parts of CGIAR. It will also look at roles and performance with respect to impact assessment in the System (Centers and CRPs) and the specific role and performance of SPIA. In that respect, it will also take into consideration the evaluation of the Project "Strengthening Impact Assessment in the CGIAR" to be completed by November 2016<sup>2</sup>. Finally, it will consider the recommendations of the ISPC taskforce to strengthen the role of ISPC in the CGIAR following from the mid-term review<sup>3</sup>.

[USD 250,000 has been allotted for the ISPC evaluation. It includes the recruitment of external evaluation team of three with expertise on agricultural science and research for development, substantive inputs from external experts in various areas of ISPC mandate, as well as travel. IEA staff support to this evaluation is captured in Personnel line item.]

### 1.1.2. Independent Evaluation Arrangement (IEA) (to be commissioned by the SC)

The IEA was established in late 2012. The purpose of the evaluation is to assess the IEA's performance in fulfilling the evaluation function at the CGIAR System level over the past four years. The evaluation will review the advisory role, performance and effectiveness of the IEA in fulfilling its two-fold mandate: commissioning and managing independent evaluations; as well as supporting and providing leadership for an enhanced evaluation culture throughout CGIAR. The CGIAR Evaluation Policy provides the context for this evaluation that will also review the Policy itself and the extent to which it needs to be updated. Thus, the evaluation will also provide assessment of evaluation needs across CGIAR, including CRPs and Centers for developing a cost-effective and efficient evaluation system in CGIAR.

The evaluation will cover all the IEA outputs (mainly evaluations, but also evaluation guidance and standards, and communication), review the independence, credibility, relevance and quality of its functions, and assess the use and utility of its results in contributing to learning, decision-making and accountability in CGIAR. The evaluation will also review the independence of the institutional

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<sup>2</sup> IEA is currently managing the ISPC commissioned evaluation "Strengthening Impact Assessment in CGIAR" (SIAC) project. More information is available online: <http://iea.cgiar.org/evaluation/evaluation-strengthening-impact-assessment-cgiar-siac>

<sup>3</sup> CGIAR (2014): Final Report of the Mid-Term Review Panel of the CGIAR Reform

arrangement, and the IEA's collaboration and cooperation with other CGIAR entities such as the ISPC and the Consortium Office (SMO), as well as linkages with CRPs and Centers. It will assess the IEA's engagement with Fund Council (System Council), including the Fund Council's role in evaluation.

To ensure independence of the evaluation from the IEA, the evaluation will be commissioned by the SC that will also nominate an oversight committee. The IEA will be engaged for proposing draft TORs and setting up of a reference group. The oversight committee will consist of SC representatives, and the reference group will include representatives of other CGIAR entities, including the ISPC, and evaluation experts.

[USD 150,000 has been allotted for the IEA evaluation. It includes the recruitment of two senior evaluation experts with experience in evaluating evaluation functions of international aid agencies and with a good understanding of specificities of agriculture research for development.]

### 1.2 Evaluation of System Policies

#### 1.2.1. Intellectual Assets

Generation of research results for international public goods (IPG) is a central mandate of CGIAR. In 2012, the CGIAR Principles on the Management of Intellectual Assets<sup>4</sup> (IA Principles) were approved. These IA Principles constitute a policy that provides a common position and framework<sup>5</sup> governing the production, acquisition, management and dissemination of intellectual assets with an aim of maximizing global accessibility and impact in a manner that balances stakeholder views concerning autonomy, accountability, trust and transparency.

The IA Principles were approved on an interim 2-year basis in order to create an evidence base and provide learning to facilitate a productive review process at the end of the interim period. The policy provides that the IA Principles shall be reviewed every two years "in light of experiences gained". In 2014, the (then) Consortium, in consultation with the Centers, and the (then) Fund Council Intellectual Property Group conducted a brief appraisal of progress in implementing the Principles during their first two years of operation. Following a consultative process with the Centers to plan the second biennial review, it was considered that a more thorough review should be undertaken than in 2014. Accordingly, with the support of the Centers and the (then) Fund Council Intellectual Property Group, IEA was approached to undertake the review in early 2017. The review will thus be approximately on schedule. This approach was also laid out in the 2015 CGIAR Intellectual Asset Report approved by the (then) Consortium Board.

While the review be independent, it will be organized, including development of the TORs, and conducted in consultation with the CGIAR System Organization, the Centers, the System Council

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<sup>4</sup><https://library.cgiar.org/bitstream/handle/10947/3485/9%20CGIAR%20Intellectual%20Assets%20Principles%20for%20Inclusion%20in%20the%20COF.pdf?sequence=1>

<sup>5</sup> See IA implementation guidelines:

[https://library.cgiar.org/bitstream/handle/10947/2846/Implementation\\_Guidelines\\_-\\_For\\_the\\_CGIAR\\_IA\\_Principles\\_on\\_the\\_Management\\_of\\_Intellectual\\_Assets.pdf?sequence=1](https://library.cgiar.org/bitstream/handle/10947/2846/Implementation_Guidelines_-_For_the_CGIAR_IA_Principles_on_the_Management_of_Intellectual_Assets.pdf?sequence=1)

Intellectual Property Group, CGIAR funders and other stakeholders, as relevant.

The purpose of the review will be to assess whether the IA Principles are working and are achieving their intended purpose, which is to maximize the impact of CGIAR research through the global accessibility of the intellectual assets produced or acquired by CGIAR Centers and the prudent and strategic use of intellectual property.

[USD 100,000 has been allotted for the Intellectual Assets evaluation. It includes the recruitment of an external evaluation team of two with expertise in intellectual property relevant to agricultural research and breeding, and any travel required. IEA staff support to this evaluation is captured in Personnel line item.]

### 1.2.2. [CGIAR Open Access and Data Management Policy](#)

The Open Access and Open Data (OA-OD) effort across CGIAR is an important strategic activity to increase the data and information that are easily and rapidly accessible online. Open access, as defined by CGIAR, aims to improve the efficiency, efficacy, and impact of CGIAR research; aid interdisciplinary research and novel computation of research literature; and allow the global public to further benefit from CGIAR research.

CGIAR aims to have all data and research outputs open and harvestable, thus allowing for all CGIAR scientific data and associated information to be easily discoverable, accessible, shared and repurposed. In 2014, all 15 Centers approved the CGIAR Open Access and Data Management Policy, which commits Centers and CRPs to making information products – including spatial, crop, socio-economic and genomic datasets open to access over the next five years. A Consortium Office led project<sup>6</sup> has supported assessment, prioritization and coordination of activities for OA-OD, including implementation of the Policy, development of frameworks to prioritize legacy data; and Centers' needs assessment for inventory of infrastructure and capacity.

The evaluation will review implementation of the Policy by CRPs and Centers. It will also assess the approach at System level and support provided to CRPs and Centers and coordination of activities for OA-OD. It will assess whether the Open Data guidelines adopted in 2014 are working towards their intended purpose to maximize the global accessibility and use of data produced or acquired by CGIAR Centers. Focus of the evaluation will be the availability and accessibility of data, and progress for OA-OD across CGIAR and specifically Centers and CRPs, as well as relevance and use of CGIAR data being shared.

[USD 120,000] has been allotted for the CGIAR Open Access and Data Management Policy evaluation. It includes the recruitment of an external evaluation team of two consultants with expertise in data management and use in research for development context, and any travel required. IEA staff support to this evaluation is captured in Personnel line item.]

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<sup>6</sup><https://library.cgiar.org/bitstream/handle/10947/3737/CGIAR%20Open%20Access%20and%20Open%20Data%20Phase%20I%20.pdf?sequence=4>



## 1.3 Evaluation of CRP Processes

### 1.3.1. Results Based Management

As part of the Reform, CGIAR has started implementing Results-Based Management (RBM), by defining Program objectives and targets at the level of development outcomes rather than Program outputs, by developing impact pathways and theories of change for Intermediate Development Outcomes and System-Level Outcomes, and by monitoring and reporting on achievements at the outcome level. This has involved the setting up of monitoring and evaluation systems at CRP level. Currently, the core of the RBM framework for CRPs is the Performance Indicator Matrix, which summarizes and budgets for the outcomes (both quantitative and qualitative) the CRP proposes to deliver. In 2014, five CRPs were funded for implementing trials in RBM (RTB, CCAFS, Humid Tropics, GRISP and AAS). The CRP RBM trials provide a first input into the use and implementation of RBM in a research for development program. For the second phase of CRP implementation, all CRPs are expected to develop and deliver on a RBM approach as described in the Guidance to CRP proposals<sup>7</sup>.

The evaluation will systematically assess the experience from the pilot implementation of RBM in CGIAR looking at approaches and lessons. It will review the incorporation of performance information in adaptive management and in System level decision-making. It will also assess monitoring, evaluation and reporting processes in place for implementation of RBM in CRPs as well as guidance for implementation of RBM in Phase II CRPs. It will aim to review the opportunities and challenges for RBM in research context, such as data management, quality and consistency, development and use of indicators, incentives and reward mechanisms, as well as linkages with the evaluation and impact assessment needs of the program. The evaluation will be conducted in close consultation with the Monitoring and Evaluation staff of the CRPs and the Monitoring, Evaluation and Learning Community of Practice (MELCOP). It will provide lessons and recommendations for implementation of RBM across the portfolio.

[USD 135,000 has been allotted to the Evaluation activity budget conduct of the Results Based Management evaluation. It includes the recruitment of two senior monitoring and evaluation experts with expertise in RBM in the research for development context, and any travel required. IEA staff support to this evaluation is captured in Personnel line item.]

## 1.4 Preparation for System-wide evaluation

For ensuring quality, efficiency and timeliness of the evaluation and high level of consultation, the System-wide evaluation proposed for 2018 will require considerable preparation in 2017 (see Annex 2 for a concept note on the SWE).

IEA plans to initiate preparation for the SWE one year before the evaluation begins. During this time, IEA will conduct the following tasks:

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<sup>7</sup> See Guidance, pg 26-29: [http://library.cgiar.org/bitstream/handle/10947/4127/CGIAR-2ndCall-GuidanceFullProposals\\_19Dec2015.pdf?sequence=1](http://library.cgiar.org/bitstream/handle/10947/4127/CGIAR-2ndCall-GuidanceFullProposals_19Dec2015.pdf?sequence=1)

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### **Data collection and analysis**

- collect background information and develop database of evaluative studies, governance and management reports, impact assessments, adoption studies with essential metadata;
- conduct preliminary analysis on data collected and consolidate information;
- draft background papers on timeline, events, and history of CGIAR reform.

### **Governance and oversight**

- set up the reference and oversight committees to the evaluation in consultation with stakeholders;
- develop TORs for the committees.

### **Evaluation design**

- develop the Terms of Reference for the evaluation through a consultative process;
- run a competitive process for selecting the evaluation team;
- draft TORs for evaluation team leader and members and recruit the team.

[USD 90,000 has been allotted in the budget for preparatory work in advance of the conduct of the System-wide evaluation. IEA staff support to this evaluation is captured in Personnel line item.]

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### Summary of proposed evaluation 2017-2018

2017	Summary information
External independent evaluation of ISPC	Review the function, enabling environment and outputs of ISPC, including SPIA, as well as its effectiveness and influence of the independent advice provided to the Fund Council in science and partnerships.
<i>External independent evaluation of IEA (not managed by the IEA)</i>	<i>Review the function, enabling environment and outputs of the IEA, and assess the independence, credibility, relevance and use of evaluations and guidance produced by IEA. The evaluation will be commissioned and overseen by the System Council.</i>
Intellectual Assets	Review the principles, framework and implementation across CGIAR and provide lessons and recommendations for enhancing the appropriate use of CGIAR intellectual assets
CGIAR Open Access and Data Management Policy	Review guidelines and implementation of CGIAR Open Access and Data Management Policy, availability and accessibility of data, and progress towards open data across CGIAR, and provide lessons and recommendations
Results Based Management	Assess the experience and lessons from piloting RBM in five CRPs in 2014-16, and in light of the experiences review the guidance, processes and monitoring, evaluation and reporting systems in place for RBM implementation; provide lessons and recommendations for CRPII implementation.
Preparatory work for CGIAR System-wide evaluation	Collect evaluative studies, background information, governance and management reports and impact assessments and adoption studies. Set up oversight and reference groups, to be operational in 2017. Draft TORs and initial design of SWE. Select and recruit the evaluation team.

## 2 2017 ACTIVITIES IN SUPPORT OF COORDINATION AND ENHANCING EVALUATION QUALITY AND CULTURE

The role of the IEA, as described in the Evaluation Policy and reiterated in the draft TORs for the IEA, is two-fold: both to commission and manage evaluations, as well as provide learning and advice for enhancing evaluation quality and culture throughout CGIAR.

In the new foundational documents of the CGIAR System, emphasis is made on the need for well-coordinated and cost-effective evaluation planning, and a complementary and cost-effective system of evaluations and reviews at all levels. These are in line with the pyramidal approach underpinning the Evaluation Policy in which the CRP (and Center) evaluations are planned in coordination with IEA and are expected to form the basis, among other elements, for System-level evaluations, for which IEA has responsibility, including evaluation of the System as a whole every 8-10 years.

During its first four years, IEA put effort to coordinating activities of the Evaluation Community of Practice (ECoP) in providing guidance documents, standards for evaluations, training, sharing lessons from evaluations and providing quality assistance to CRPs that commissioned their own CRP evaluations (CCEE).

In 2017, the IEA continues its activities to enhance the planning and implementation of evaluations of good quality at the CRP level. In addition, IEA plans to hold consultation across CRPs and Centers, and with the System Organization units, to define further and agree on the various elements of a cost-effective and coordinated system of evaluations and reviews. Efforts will also include development of a consolidated multi-year evaluation plan (across all CRPs, Centers, IEA, and – to the extent possible – donors) as well as formal processes for feedback and finalization for evaluations at all levels.

### 2.1 Developing a multi-year CGIAR evaluation plan

A cost-effective evaluation plan fulfills the evaluation needs of all stakeholders, including CGIAR governing bodies, management and governance of Centers and CRPs, and donors. It covers evaluations at different levels timed so as to provide evaluative information from projects and parts of programs to overall program level and ultimately to the System-level evaluation. It delivers high quality, well coordinated evaluations that reduce and eventually remove the need for ad hoc evaluations and reviews that serve the need of an individual stakeholder only.

In coordination with the SMB, Centers and CRPs, IEA will develop a multi-year evaluation plan that covers the CGIAR Portfolio, structures and functions of the System Organization, and the System as a whole. The process for developing and updating such a plan will be agreed with the SMB. The IEA will also work with the SMO and donors to find ways to move towards a coordinated system of evaluations and reviews that satisfies the donors' requirements for evaluative information and helps reduce the overall review burden and cost.

#### 2.1.1. [Evaluations at CGIAR level](#)

IEA is responsible for evaluations of the CGIAR Portfolio, the structures and functions of the System Organization, and the CGIAR System. The Evaluation Policy calls for a multi-level evaluation structure,

where IEA commissioned evaluations build upon CCEEs and themselves provide evaluative information for the CGIAR System-wide evaluation, resulting in increased accountability and cost-effectiveness.

The CRP evaluations form a major part of the multi-year evaluation plan. The new CRP Portfolio, approved by the System Council at its second meeting in late September, consists of 11 CRPs that were initiated or combine work started in the first phase of CRP implementation. In addition, there are three Platforms, two of which are new programs. In developing the CRP evaluation schedule for the next phase, IEA will consider the following in its consultation with the CRPs and SMB:

- date since last independent external evaluation;
- CRP/Platform history and changes since first phase of CRP, and ISPC appraisal history for judging optimal evaluation timing;
- plans of CRP or Center commissioned evaluative studies that can provide input into the IEA evaluation;
- balance in geographical coverage and CRP research focus.

IEA expects to complete 3-4 evaluations a year, starting from 2019. The IEA's four-year rolling evaluation work plan is part of the CGIAR's comprehensive plan of evaluations and reviews and will be submitted to the SC for approval.

### 2.1.2. CRP commissioned evaluations

As per the Consortium Guidance for Full Proposals, all CRP program proposals were expected to define a Monitoring, Evaluation, and Learning Strategy (MEL), which includes a five-year rolling evaluation plan for CRP commissioned external evaluations, described as "building blocks to the external evaluations conducted by the IEA". An annual budgetary allocation of up to 300,000 USD was set in the Guidance, with request for joint CCEEs to be conducted to leverage resources and assess performance in specific geographic or thematic areas. The CCEEs are to focus on components of CRP work in a comprehensive manner, thereby providing the basis and evaluative information for the IEA commissioned CRP evaluation.

In preparation for the MEL plans being developed by CRPs, IEA compiled evaluation plans submitted by the CRPs in their proposals. The evaluation plans are preliminary, and cover different kinds of evaluative activities of the CRP flagships and cross-cutting themes. According to current preliminary evaluations plan submitted in the CRP proposals, an average of 10-13 evaluations/reviews are scheduled per year across CGIAR as part of the MEL plan.

### 2.1.3. Center Commissioned Evaluations

Centers carry on with the Center-Commissioned External Reviews for management and governance purposes. In addition, as per the Charter of the System Organization, there is a provision for SMB-commissioned governance and management reviews of Centers to complement the evaluations of the CGIAR Portfolio. Both kinds of Center evaluations will be included in the multi-year CGIAR evaluation plan.

## 2.1.4. Donor commissioned evaluations

Several donors commission evaluations/reviews of CGIAR research and projects for their own purposes. In developing a CGIAR-wide evaluation plan, IEA will also aim to include donor evaluation plans in order to ensure coordination and availability of all evaluative studies for CRP evaluations, and to reduce duplication of efforts for increasing cost-effectiveness.

## 2.2 Developing an online repository of CGIAR evaluative studies

To improve accountability, transparency and accessibility of CGIAR evaluations, IEA is developing an online repository of evaluative studies. The repository will provide CRP and Center staff, researchers, donors and partners a centralized space to search, review and access evaluative information on the programs and activities in CGIAR.

The repository will contain evaluative studies conducted by Centers, CRPs, donors on CGIAR research, and CGIAR entities, categorized by IEA by type, coverage, focus and subject matter. While the repository will not include impact assessments to avoid duplication with the SPIA database, it will explore possibility of linkages and searches. Entry to the repository requires that the studies fulfill certain criteria defining evaluative studies of different types that will be shared with the user community. The repository will thus help clarify terminology and understanding of what can be considered as an evaluative study. The repository, to be hosted at the IEA Website, will also assist in identifying evaluation gaps.

## 2.3 Collaboration and coordination with evaluation focal points in CGIAR

Since its establishment in 2013, IEA initiated and led an annual gathering of evaluation focal points, to share information and experiences, enhance capacities, and coordinate activities. The Evaluation Community of Practice (ECOP) meetings provided the first opportunity, across CGIAR, for representatives to share experiences and plans, and share information and updates on evaluations in CGIAR.

In 2017, IEA will continue collaboration with the evaluation focal points in CGIAR, especially in the priority areas of coordinating evaluation plans and developing a quality enhancement support system for evaluations. In 2016/17 IEA will also closely consult with ECOP members to identify the community needs and best modalities and processes to address them through IEA support and leadership.

## 2.4 Policy and Guidance Notes for Evaluations

While in the new governance structure, the overall mandate of IEA remains the same and the evaluation approach underpinning the evaluation policy remains valid, elements of the policy will need to be revisited once the TORs of IEA are finalized and reflecting lessons learned and the new governance structure.

IEA has developed Guidance Notes for CGIAR evaluations to be used as a helpful reference document for those commissioning and carrying out evaluations<sup>8</sup>. The Guidance Notes reflect the CGIAR

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<sup>8</sup> See Guiding Documents on IEA website: <http://iea.cgiar.org/publications>

evaluation standards and aim to increase the quality, consistency and harmonization of planning and approaches.

The Guidance Notes will be revised and new ones will be prepared (for examples on frameworks for evaluating quality of science, governance and management systems and theories of change) to reflect the lessons learned from completed CRP evaluations and captured in the methodology workshops IEA organizes (see below). In addition, the formal processes for finalizing and responding to evaluation<sup>9</sup> will be revisited in view of the new governance set-up.

### 2.5 Evaluation Methodology Workshop

In late 2015, IEA organized an evaluation methodology workshop on assessing quality of science (QoS) in research programs. The workshop included representatives across CGIAR (ISPC, CO and CRPs), external experts and IEA. The overall purpose of the workshop was to consolidate and strengthen the IEA's approach to evaluating QoS in CGIAR, focusing on the evaluation framework, evidence used, interpretation of findings, and lessons for users of evaluation.

The workshop was seen as an opportunity to explore common understanding and definition of QoS and linking it to other aspects of performance in appraisal, monitoring and evaluation. The workshop report<sup>10</sup> sets the basis for IEA evaluation guidance on QoS. IEA is currently developing specific guidelines on how QoS should be assessed in the framework of CRP Evaluations. These IEA outputs will feed into the ISPC-led discussion on QoS in CGIAR.

In early 2017, IEA, in coordination with ISPC, is organizing a two-day workshop to discuss experiences and approaches for assessing CRP Theory of Change (TOC), through evaluation and appraisal. The purpose of the workshop is, on the one hand, to strengthen approaches to assessing TOC in CGIAR and, on the other hand, to review the applicability and challenges of using a theory-based approach to evaluating research. Lessons from past evaluations and CRP appraisals and applicable experiences elsewhere will be considered acknowledging the continuous evolution happen in the design and use of TOCs in CRPs.

The methodology workshops allow focused discussions on issues central for evaluation and assessment cutting across the CGIAR portfolio, involving highly experienced participants. They represent important learning events for IEA for assessing and improving its evaluation approaches and methodologies.

### 2.6 Development of CGIAR Quality Enhancement Support

Over the past four years, IEA provided support and guidance to evaluation managers of CRP-commissioned evaluations and, in particular, at the request of the Fund Council to the five CRP-commissioned evaluations in 2014/5. In 2017, IEA will develop a quality enhancement system/framework for IEA's support to evaluations that are commissioned by Centers and CRPs. This

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<sup>9</sup> See FC approved process for finalization, feedback and decision making of CRP evaluations: <http://iea.cgiar.org/sites/default/files/CRP%20evaluation%20-%20finalization.FC12.pdf>

<sup>10</sup> See summary report of Quality of Science workshop: [http://iea.cgiar.org/sites/default/files/Report\\_QoSWorkshop-final.pdf](http://iea.cgiar.org/sites/default/files/Report_QoSWorkshop-final.pdf)

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framework will be developed using experience so far and in close consultation with CRPs and Centers with a view to best serve the needs.

To support and develop the system, IEA plans to offer, on a voluntary basis, quality enhancement support and guidance to 4-5 CRPs or Center's commissioning evaluations in 2017. CRPs wishing to make use of IEA support and guidance will be provided with assistance during the following evaluation phases and outputs:

- Guidance and support in drafting Terms of References for the evaluation – to ensure they meet the evaluation criteria set by CGIAR Evaluation Standards
- Selection of team
- Drafting inception report
- Draft report review



### 3 OTHER ACTIVITIES IN 2017

Since its establishment, IEA has collaborated with CGIAR System entities, including SPIA, ISPC and Consortium Office (SMO) to share information and knowledge and improve effectiveness. With the new governance structure, IEA will continue to work closely with the other entities on common areas and issues, particularly in developing a multi-year evaluation plan and a cost-effective, complementary system of evaluations and reviews. The evaluation methodology workshops on CRP performance criteria and assessment methodology represent an excellent opportunity for collaboration between IEA, ISPC and SMO engaging also staff with MEL responsibilities and external experts.

IEA is also collaborating for enhancing the coordination and efficiency of monitoring, evaluation and impact assessment as inter-dependent functions where the IEA, SPIA, Centers/CRPs and SMO all have responsibilities. In 2015, IEA drafted a paper on these three functions, their interactions and the roles of the different entities. In CRPII it will be important to reach common understanding of responsibilities, requirements for and use of performance information. Cost-effective evaluation depends on availability of consistent and comprehensive monitoring information and impact evidence. IEA will therefore contribute further to developing a strong, interlinked system for CGIAR.

IEA continues with different communication strategies to share evaluation results with stakeholders and to engage them in consultation in on-going evaluations. It has held several evaluation workshops in recent Fund Council meetings and aims at continuing with this direct engagement of donors for discussing evaluations and highlighting lessons. IEA will also continue and strengthen its online communication, including virtual consultations with stakeholders on specific evaluations, distribution of evaluation briefs and syntheses, and regular reporting through the newsletter.

## 4 RESOURCES AND BUDGET FOR 2017

The total IEA budget for 2017 amounts to USD 1,880 million to be administered through FAO. Budget Requirements for Evaluations

The total budget for evaluation is estimated to be of USD 845,000. This includes the budget for evaluation of IEA, estimated to be USD 150,000 over which decisions will be taken by an oversight committee of the SC. This represents a significant reduction compared to budgets for evaluation of preceding years mainly due to the number of evaluations to be conducted by external teams being small; the evaluations planned are smaller by scope and cost than CRP evaluations. The budget for evaluation also reflects a significant effort to prepare for the 2018 System-wide evaluation – which will mostly be done by IEA personnel.

### 4.1 Budget Requirements for activities in support of coordination, communication and enhancing evaluation quality across the system

The total budget for these activities amounts to USD 135,000. As described in the former sections, a large part of the work will be carried out by IEA staff itself. The main budgetary item includes the cost of supporting quality enhancement support of CRP-commissioned evaluation and working with CRPs to develop a multi-year evaluation plan. Other costs include time of short-term consultants, both junior experts for collecting data and conducting analysis and senior advisors to assist IEA in its various activities which aim at enhancing quality of evaluations (workshops, guidelines, framework etc.)

### 4.2 Institutional cost

An overall budget of USD 75,000 is allocated for travel of IEA team. This includes: attending System-level meetings (ISPC, SC and SMB meetings, workshops), all travel by IEA team relating to evaluation planning and participating in professional networks meetings.

In 2017, although most of the activities will be mostly carried out by IEA staff, the IEA team remains small and includes three professional staff (including Head of IEA) and one administrative assistant.

## IEA 2017 program of work and budget

Expense Item	2017 Budget
<b>Activities</b>	
<b>1. 2017 Evaluation Plans</b>	
Independent Science and Partnership Council (ISPC)	250,000
Independent Evaluation Arrangement (IEA)*	150,000
Intellectual Assets	100,000
Open Access Policy /Open Data	120,000
Result Based Management	135,000
Preparation for System-wide Evaluation	90,000
<b>Sub-Total Evaluation Plans with IEA Evaluation</b>	<b>845,000</b>
<b>2. 2017 Activities in support of evaluation quality and culture</b>	
Multi-year evaluation plan, evaluation repository, guidance notes and quality enhancement systems	120,000
<b>Sub-Total 2017 Activities</b>	<b>120,000</b>
<b>3. Other activities</b>	
Communications	15,000
<b>Sub-Total Other activities</b>	<b>15,000</b>
<b>Personnel inputs</b>	
Professional	670,000
Administrative Support	130,000
<b>Sub-Total FTE</b>	<b>800,000</b>
<b>Travel</b>	75,000
<b>Operating Expenses</b>	25,000
<b>Overhead charges</b>	
<b>Sub-Total travel and Operating expenses</b>	<b>100,000</b>
<b>TOTAL costs</b>	<b>1,880,000</b>
*administered by SC Committee	

## ANNEX 1: IEA THEORY OF CHANGE

This represents a first attempt at developing the IEA Theory of Change using the CGIAR System Framework, the Charter of the CGIAR System Organization, the CGIAR Policy for Independent External Evaluation (2012), the IEA Logframe developed as part of the REWP 2013 and the draft TORs of the IEA (version of April 2016). The IEA ToC will be revisited when its TORs are finalized.

**The goal** of IEA can be stated as: **Effective and Efficient research planning, decision-making and management across the CGIAR in support of the System Level Outcomes.** By providing CGIAR decision-makers and stakeholders with independent accountability for results and progress towards results and with learning to inform research planning, decision-making and management, the evaluation function contributes to CGIAR being fit for purpose. IEA is an advisory function, aiming at influencing decision-making and changes at all levels in the System. Its impact pathways are embedded in the overall CGIAR impact pathway as defined in the SRF.

The **purpose** (immediate outcome) of the evaluation function (IEA) is that evaluation practice across the **CGIAR is in line with international standards and evaluations of high quality are used appropriately for learning, accountability and decision-making in a system which is cost-effective and ensures sufficient coverage.**

To fulfill these purposes, IEA is responsible for **three major outputs** using multiple and inter-connected pathways:

### Output 1:

High quality evaluations of CGIAR research, institutions, policies, cross-cutting themes and the System as a whole

### Output 2:

Effective coordination of multi-year evaluation planning and implementation

### Output 3:

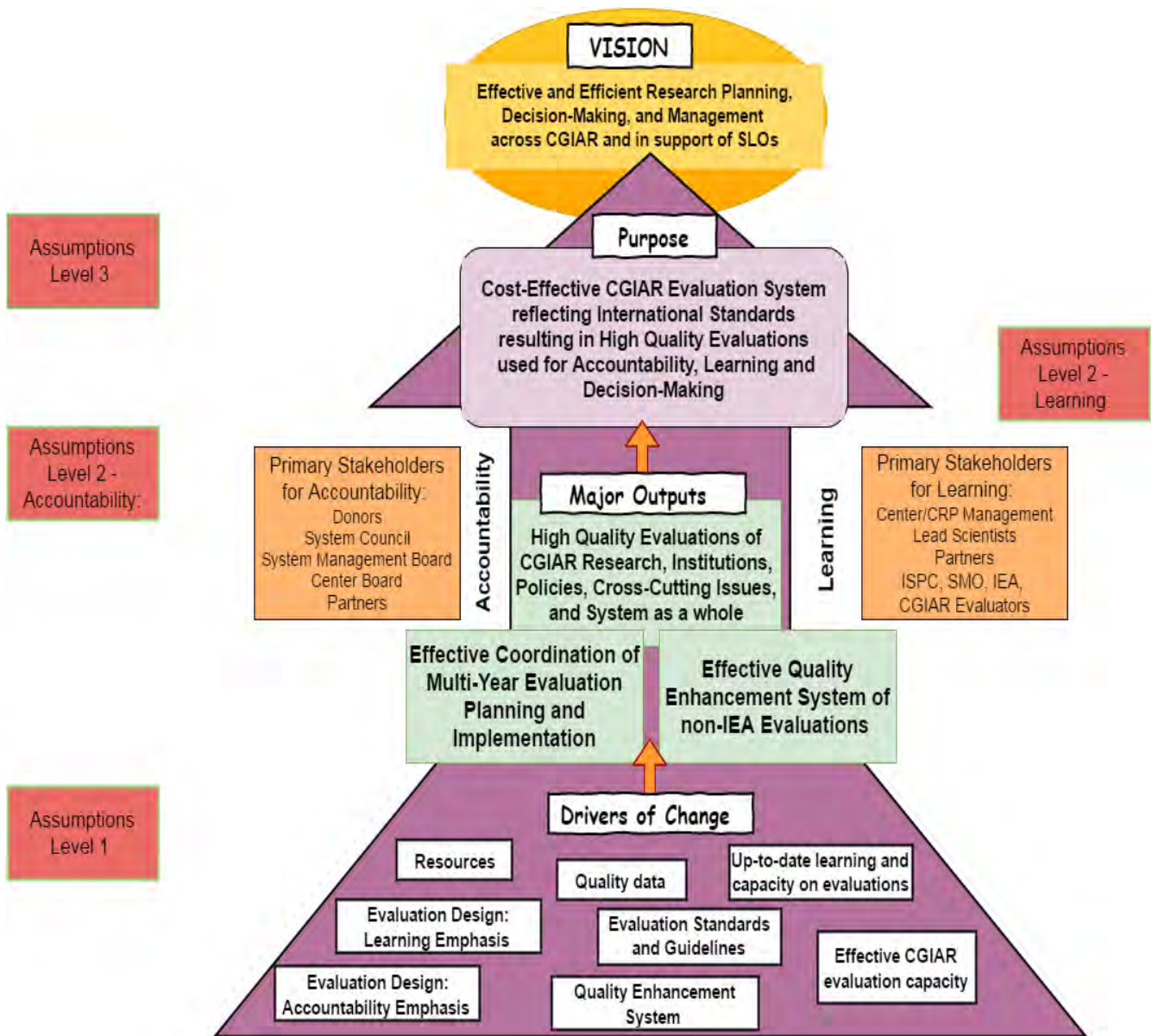
Effective Quality Enhancement of non-IEA evaluations

There are various user groups and uses of IEA outputs. Table 1 describes the users who are most directly linked to the work of the CGIAR and uses of IEA outputs. Beyond these primary users, there are also all those working in the agriculture research and development sectors that benefit from insights and lessons on agricultural research for development.

**Table 1: Users and Uses of Evaluation**

Users	Uses
<b>System Council, Donors, System Management Board</b>	Mainly for accountability on program performance
	Building trust and transparency
	Strategic and informed decisions on portfolio and funding allocations
<b>Center and CRP Management</b>	Learning for strategic management and adaptations and adjustments of program
	Development or revision of research program
	Building trust and transparency with staff, donors, partners
<b>ISPC</b>	Learning for ex-ante reviews and priorities for IA and science monitoring
<b>Partners</b>	Building trust and transparency
	Accountability on partnership and program performance
	Refinement of partnership
<b>System-wide</b>	System-wide strategic management and oversight

The graph below represents the **Theory of Change**, including assumptions, conditions and associated risks that will make change happen as anticipated along the IEA impact pathway moving from activities and outputs to purpose and goals. For the sake of clarity, the assumptions at various levels are detailed in table 2.



## IEA 2017 program of work and budget

**Table 2: Assumptions**

Assumption Level 1	Influenced by	Responsibility
Financial resources for evaluations are available	Well planned PWB	SC approval
Quality monitoring data is available	MeL system	SMO
Recruitment of expertise with knowledge and vision of CGIAR strategy and science, as well as governance and management as appropriate	Transparent and competitive recruitment process for expert teams	IEA/ QA System
Human resources capacity for evaluation is supported and strengthened	Training and capacity development	CRPs/Centers
Organizational use and implementation of standards and guidelines	Use of guidance and standards	CRPs/Centers/IEA
CRPs/Centers have sufficient capacity to manage evaluations	Qualified personnel are hired, trained and supported	CRPs/Centers in coordination with IEA
Engagement and collaboration from CRPs/Centers on evaluation coordination and planning and harmonization of approaches	Processes and communication for sharing evaluation plans and coordinating schedules	IEA in collaboration with CRPs/Centers/SMB
Assumption Level 2 – accountability		
Stakeholders request and use of evaluations in decision-making	Effective System Council committee reviewing and providing clear guidance to SC members	System Council and System Council Committee members Center Boards and Program Oversight bodies
Assumption Level 2: learning (additional)		
Stakeholders engage in the evaluation process	Management and evaluation culture	Governing Bodies at all levels Research leaderships and researchers
All building blocks – monitoring information, CCEEs and impact assessments – of sufficient quality and coverage are available	MeL system Good coordinated planning and quality assurance system for evaluation	Centers/ CRPs/SPIA
Internal ownership and use of evaluations	Evaluation culture	CRP/Center management
Timing of evaluation to ensure effective change	Good consultation and planning	SC and IEA
Assumption level 3		
Follow up and acknowledgment of changes following evaluation	Systematic formal processes for follow-up to evaluations	Centers and CRP Management SMO/SC
No major constraints to timely and effective implementation of key evaluation recommendations, e.g. funding or staffing	Resources	SC/CRP management
Strong leadership from the top of the CGIAR to promote and support evaluations as a key strategic and management tool	Evaluation culture	SC/SMB/SMO
SMO and System Council agree on approach to incorporate evaluation evidence into decision-making on funding CRPs		SMO/SC
Non-evidential factors (e.g. personal opinions; pressure from funders) do not unduly outweigh evaluation evidence in key decision-making		SMO/SC



## ANNEX 2: 2018 EVALUATION OF THE CGIAR SYSTEM – CONCEPT NOTE AND OUTLINE

### Background

#### Independent System evaluations in CGIAR

The CGIAR System has been subject to independent reviews on regular basis since its initiation<sup>11</sup>. The current Reform followed a comprehensive, System-wide independent review in 2008. In the foundation document of the Reform<sup>12</sup>, there is provision that the CGIAR's achievement of the Strategy and Results Framework (SRF) and Reform objectives is periodically reviewed through "an Independent Evaluation of the Partnership". The foundation document of the reformed CGIAR established the need for an independent evaluation arrangement with responsibility for evaluation at the CGIAR level, including independent evaluation of the System. This arrangement became the Independent Evaluation Arrangement (IEA).

#### 2008 Reform

The CGIAR Reform launched in 2008 was shaped by two parallel processes. The CGIAR had initiated its Change Management Process in 2007. The analysis of external challenges was informed by the World Development Report 2008, and this was coupled by an analysis of internal factors. The Change Management Process coincided with the Independent External Evaluation completed in 2008 that responded to request of the World Bank to have its global programs independently reviewed on a regular basis.

Analysis of external factors highlighted the following:

- increasing food prices, energy crises, climate change
- declining yield growth
- slow increase in world food production

Internal factors requiring reform of the CGIAR included the following:

- mission creep
- no clear vision and strategy
- complex governance and lack of accountability
- static partnerships
- lack of coordination among investors
- declining core resources

Objectives of reform were:

- clear strategic focus
- increased research output, outcome and impact
- greater efficiency effectiveness and relevance

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<sup>11</sup> The 1<sup>st</sup> (1976), 2<sup>nd</sup> (1986) and 3<sup>rd</sup> System-wide Review (1998) and the Independent External Review in 2008 were commissioned by the Consultative Group. An Independent Meta-Evaluation of the CGIAR in 2003 was conducted by the World Bank's Operations Evaluation Department.

<sup>12</sup> Voices of Change, December 8, 2009



## IEA 2017 program of work and budget

- simplicity and clarity of governance
- enhanced decentralized decision-making
- active subsidiarity to capitalize on complementarities of the Centers

Subsequently the Joint Declaration<sup>13</sup> commits CGIAR to:

- harmonize approach to funding and implementing
- manage for results
- effective governance and efficient operations
- collaboration and partnering

### Main changes during the reform

With the Reform, the CGIAR moved to programmatic implementation of research where research done by the 15 Centers and their partners is implemented through CGIAR Research Programs (CRP, initially 15). The Fund was established as a mechanism to provide pooled funding while bilateral funding also remained. The CGIAR became a partnership, branded CGIAR, with a two pillar governing model replacing the Consultative Group. The pillar representing the “doers” included the Consortium that gained legal status for its Office in Montpellier hosted by France. The Centers implementing the CRPs reported to the Consortium through lead-Center arrangement. The other pillar—that of “funders”—consisted of the Fund Council of donors donating a minimum to the Fund, and the Fund Office and the Trustee, both at the World Bank. The Funders Forum open to any donors was a further mechanism for donor engagement.

The mechanisms linking these pillars include the Strategy and Results Framework (SRF), the Independent Science and Partnership Council (ISPC) and the IEA. The SRF guides CGIAR research and sets forth the System’s common goals in terms of development impact (System-Level Outcomes [SLOs])<sup>14</sup>, strategic objectives and results in terms of outputs and outcomes. Binding program performance agreements were set between the Consortium (and subsequently Consortium and Centers) and the Fund Council for accountability and reporting.

The Global Conference on Agricultural Research for Development organized by the Global Forum on Agricultural Research, was designed as an overarching mechanism for engaging partners.

The first SRF was approved in 2011 and the second in 2015. Following approval of the 2<sup>nd</sup> SRF, CGIAR also approved a Phase II Portfolio of 12 CRPs and 3 Platforms and launched the call for pre-proposals for them. The full-proposals are going through approval in 2016 and approved programs start operations in 2017.

Following the Mid-Term Review in 2013, CGIAR in April 2015 decided to revise its governance model and a year later has approved a two-board model, with a donor-based System Council (SC) and a System Management Board consisting Center representatives (Director General and Board level) and

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<sup>13</sup> First Chapter of the Voices of Change. The other Chapters are: Consortium Constitutions, Framework for CGIAR Fund and M&E Framework for the new CGIAR.

<sup>14</sup> Defined as four System-Level Outcomes: reduction of poverty, improvement of food security, increasing nutrition and health; and more sustainable management of natural resources.

## IEA 2017 program of work and budget

independent members. In the new model one office (System Management Office) serves both the SC and the SMB, and the ISPC and IEA remain as independent advisory bodies. A Partnership Forum will be a mechanism to engage partners at the highest System level.

### Proposal for System-wide evaluation in 2018

#### Rationale

The Reform is proposed to be the main context for the next independent System-wide evaluation, which in the new Framework is anticipated to take place every 8-10 years. An evaluation in 2018 would look about nine years of operations after launch of the Reform. This is a sufficiently long period to take stock of direction, progress and value added by the Reform. In this period, CGIAR has accomplished the following:

- approved its SRF twice;
- completed the first Phase of the CRPs;
- gone through a revision of the Portfolio and program selection for Phase II implementation and one year of implementation of the new CRPs and Platforms;
- have all CRPs and main cross-cutting themes externally evaluated;
- put in place several management processes intended to operationalize the programmatic development focus of the research programs:
  - establishing a Results Framework at all levels: CRPs, Portfolio and the System;
  - a Monitoring and Evaluation System at CRP levels corresponding with a reporting system;
  - impact pathways and theories of change at CRP level;
  - results-based management of the CRPs.

By 2018, CGIAR will have implemented mid-course adjustment of the governance and management structure at the System level, and other recommendations from the 2013 Mid-Term Review that concerned governance, functions of the advisory bodies—particularly regarding quality of science—and strategic focus.

As per CGIAR Evaluation Policy, endorsed by the Fund Council in 2012, the System-wide evaluation is a culmination of lower level evaluations that form its “building blocks”. The IEA started its evaluation work in 2013. To-date it has completed the evaluation of 10 CRPs, provided quality validation to evaluations of the remaining five CRPs and conducted a review of the CRPs’ governing mechanisms and the end-of operations review of the Generation Challenge Program. The on-going evaluations include the Genebanks CRP (a research support program) and evaluations of gender, partnerships and capacity development. Furthermore, prior the proposed start of the evaluation of the System, the IEA is planning to conduct evaluations of selected CGIAR bodies, policies and functions in preparation of the evaluation of the CGIAR System.

#### Purpose of system evaluation

The broad purpose of the System-wide evaluation is to provide overall accountability on the CGIAR System, its value added and lessons for the strengthening of the relevance and impact of the System’s work and its institutional effectiveness.

## IEA 2017 program of work and budget

The specific purpose is to assess the extent to which CGIAR has benefited from the 2008 Reform by:

- achieving or making progress towards the objectives set by the Reform;
- learning and adjusting to meet the objectives of the Reform and the current high level goals of CGIAR;
- addressing unintended effects that negatively affect CGIAR's capability to deliver towards its high level goals.

### Scope

The effects of and changes resulting from the 2008 Reform regarding CGIAR's capability to deliver towards its high level goals will be evaluated. Dimensions of capability include:

- scientific competences;
- functioning of governance mechanism;
- quality of oversight of science quality and priorities;
- health and performance of institutions;
- health of funding;
- reputation;
- extent and nature of connecting with partners and other stakeholders

Analysis of major current and emerging issues and CGIAR's continued relevance is in the Evaluation Policy seen as a task of a System-wide evaluation to set the context in which the assessment of CGIAR takes place. Given that the 2015 SRF process included an analysis of the external context and emerging issues and, following from that, prioritization is addressed systematically at all levels; System, Portfolio and Programs, this evaluation will not duplicate the work done. Instead it will assess the comprehensiveness and rigor of the processes and their results.

The evaluation will cover CGIAR institutions (taking into account their evaluability following the changes in 2016), functions, processes and policies. It will assess quality, relevance, productivity and effectiveness, and development impact. While the focus will be on the extent to which these performance aspects have been maintained or enhanced since the previous System-wide evaluation, the evaluation will assess CGIAR against what can be expected from an organization of this nature regarding research quality and development effectiveness. The System-wide evaluation will also address gender, capacity development and partnerships.

The evaluation will not conduct comprehensive assessment of the performance of individual centers. In evaluating impact of the CGIAR System, the evaluation will focus on impact and trends of impact of recent research (past 10-15 years) and impact assessment, rather than accumulated historic impact.

The CGIAR will be evaluated at the System-level including governance, management and System-level performance within the scope presented above. The evaluation will be done at the level of components of which a draft list is given in Table 3.

### Approach

The evaluation will comply with CGIAR Evaluation Policy and principles. It will adhere to the standards set by the IEA for high quality evaluation and concerning independence, service of mutual accountability in CGIAR, user orientation, clarity of purpose, efficiency, transparency and ethical

## IEA 2017 program of work and budget

conduct. It will be conducted in a consultative and participatory manner engaging effectively with the wide range of CGIAR stakeholders.

It will build on existing evaluative information, such as:

- System-level reviews
- IEA evaluations (see table of completed and ongoing evaluations below)
- ISPC appraisals and strategic studies
- Center/CRP commissioned evaluative studies
- Impact studies to the extent they document results since 2008, change and acceleration
- Selected reviews of CGIAR programs, institutions or functions
- Selected strategic reports relevant to CGIAR or its functions

Within the scope proposed, the Evaluation Management will solicit feed-back from stakeholders on major issues to be addressed by the System-wide evaluation.

### Governance

- Commissioned by the SC;
- Designed and managed by the IEA;
- Conducted by an independent team with requisite expertise;
- The SC will set up an Oversight Committee that will:
  - approve Terms of Reference, evaluation team and evaluation budget;
  - approve CGIAR response to the evaluation.
- A Reference Group consisting of representative of the key stakeholders in the CGIAR will be consulted throughout the process on the following:
  - presenting nominations for evaluators;
  - feed-back on the Inception Report;
  - feed-back on any interim reports or draft reports of component evaluations;
  - feed-back on final draft report.
- A Peer Review/Expert Panel for the evaluation will also be considered in planning the evaluation

### Budget

A budget will be approved for the System evaluation as a separate line item in the IEA's budget, including costs of Evaluation Team, travel, costs of workshops/consultations, QA and Expert Panel, IEA support staff time dedicated to this evaluation. The tentative estimate of the evaluation cost is around USD 800,000.

### Timeline

Planning for the System-wide evaluation will begin in 2017 when the Terms of Reference will be finalized and the evaluation team selected and contracted. Some of the component evaluations can be conducted in 2017, as indicated in Table 3. The evaluation will be conducted in 2018 with the evaluation report completed by the end of the year. Response from CGIAR governing bodies and dissemination will take place in early 2019.

## IEA 2017 program of work and budget

**Table 3: Components**

Institutions		
CRPs Phase I	Initiated 2010-2012	All evaluated
CRPs Phase II	One year of operation	Phase II change evaluable in SWE 2018
IEA	CRPs, thematic evaluations	Process, conduct and effect evaluable in 2017
ISPC	Continues work of SC	Evaluable in 2017
SPIA	Established in 1995	SIAC evaluation in 2016
Fund/System Council	Change in 2016	Evaluable
SMB	Completely new in 2016	SWE 2018
Consortium/SM Office	Change in 2016	Evaluable
Functions, processes System level		
Functions under System Policies	Intellectual Assets Principles CGIAR Open Access and Data Management Policy Evaluation Policy	2017 2017 As basis for evaluating IEA
SRF	Two processes, 2011 and 2015	Process and product evaluable Central part of SWE
CRP governance	Reviewed in 2014 resulting in "mandatory change"	SWE 2018
MEL framework	Being put in place (IEA, ISPC, SMO)	SWE 2018
Prioritization (System, CRPs)	Evolving	SWE 2018
Processes, CRP level:		
M&E	Evolved since 2012; systematic M&E becomes mandatory in 2017	Comprehensiveness of systems in 2018
TOC	Evolved since 2013; major development for Phase II	SWE 2018
RBM	5 CRPs piloted in 2014-15	RBM pilot evaluable in 2017
Collective action	Site integration planning, implementation in 2017	2018
Results		
Outputs and interim results		SWE 2018
Adoption and impact		

## Proposed 2017 activities and target dates

### ANNEX 3: PROPOSED 2017 ACTIVITIES AND TARGET DATES

Key Activities	2017 outputs / deliverables	Target date
<b>2017 Evaluation Plans – IEA commissioned</b>		
Evaluation of Intellectual Assets	Final report	April 2017
Evaluation of CGIAR Open Access and Data Management Policy	Final report	Oct 2017
Evaluation of Results based management	Final report	Oct 2017
Evaluation of ISPC	Final report	Dec 2017
Evaluation of IEA	Final report	Dec 2017
Completion of 2016 evaluations (Gender, Partnerships, Capacity Development and Genebanks) and lead communication efforts	Final reports (4)	January 2017
<b>Supporting and developing a coordinated evaluation system for CGIAR</b>		
Development of multiyear evaluation plan	Consolidated multiyear plans (CRPs, Center, IEA) and submission to SC	June 2017
Development of online repository of CGIAR evaluative studies	Repository of evaluative studies accessible to public	Nov 2017
Evaluation methodology workshop	Workshop on assessing TOC and theory based evaluation	January 2017
QA support system	Design proposal and initiate program of support to QA enhancement system, and initiate support to CRPs	June –Dec 2017

## Update on 2016 activities

### ANNEX 4: UPDATE ON 2016 ACTIVITIES

Main Activities	Status	Link (if applicable)
<b>CRP evaluation of Global Rice Science Partnership (GRiSP)</b>	Final report delivered January 2016 Workshop and presentations to SC and CRP leaders held in April and June	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-global-rice-science-partnership-grisp">http://iea.cgiar.org/evaluation/crp-evaluation-global-rice-science-partnership-grisp</a>
<b>CRP evaluation of Livestock and Fish (L&amp;F)</b>	Final report delivered January 2016 Workshop and presentations to SC and CRP leaders held in April and June	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-livestock-and-fish-lf">http://iea.cgiar.org/evaluation/crp-evaluation-livestock-and-fish-lf</a>
<b>CRP evaluation of Roots, Tubers, and Bananas (RTB)</b>	Final report delivered January 2016 Workshop and presentations to SC and CRP leaders held in April and June	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-roots-tubers-and-bananas-rtb">http://iea.cgiar.org/evaluation/crp-evaluation-roots-tubers-and-bananas-rtb</a>
<b>CRP evaluation of Water, Land, and Ecosystems (WLE)</b>	Final report delivered January 2016 Workshop and presentations to SC and CRP leaders held in April and June	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-water-land-and-ecosystems-wle">http://iea.cgiar.org/evaluation/crp-evaluation-water-land-and-ecosystems-wle</a>
<b>CRP evaluation of Climate Change, Agriculture and Food Security (CCAFS)</b>	Final report delivered January 2016	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-climate-change-agriculture-and-food-security-ccafs">http://iea.cgiar.org/evaluation/crp-evaluation-climate-change-agriculture-and-food-security-ccafs</a>
<b>Synthesis Study of lessons learned from 15 CRP evaluations</b>	Synthesis of lessons learned from 15 CRP evaluations completed in July 2016. Presentations and communications completed to CRP Scientists, representatives and System Council members	<a href="http://iea.cgiar.org/evaluation/synthesis-and-lessons-learned-crp-evaluations">http://iea.cgiar.org/evaluation/synthesis-and-lessons-learned-crp-evaluations</a>
<b>Strengthen Impact Assessment in the CGIAR (SIAC) evaluation (commissioned by SPIA, managed by IEA)</b>	Report being finalized, to be published in November 2016	<a href="http://iea.cgiar.org/evaluation/evaluation-strengthening-impact-assessment-cgiar-siac">http://iea.cgiar.org/evaluation/evaluation-strengthening-impact-assessment-cgiar-siac</a>
<b>Quality of Science (QoS) study and assessment</b>	Workshop report on assessing Quality of Science in evaluations completed. Developed draft framework for assessing QoS in evaluations	<a href="http://iea.cgiar.org/news/evaluating-quality-science-cgiar">http://iea.cgiar.org/news/evaluating-quality-science-cgiar</a>
<b>Evaluation of CGIAR CRP for Managing and Sustaining Crop Collections</b>	Inquiry phase inquiry phase to be completed by November 2016. Final report scheduled for Jan 2017	<a href="http://iea.cgiar.org/evaluation/crp-evaluation-genebanks">http://iea.cgiar.org/evaluation/crp-evaluation-genebanks</a>
<b>Thematic Evaluation: Gender in CGIAR Research and in the CGIAR workplace</b>	Inquiry phase inquiry phase to be completed by November 2016. Final report scheduled for Jan 2017	<a href="http://iea.cgiar.org/evaluation/evaluation-gender-research-and-cgiar-workplace-0">http://iea.cgiar.org/evaluation/evaluation-gender-research-and-cgiar-workplace-0</a>
<b>Thematic Evaluation: Capacity Development in CGIAR</b>	Inquiry phase inquiry phase to be completed by November 2016. Final report scheduled for Jan 2017	<a href="http://iea.cgiar.org/evaluation/evaluation-capacity-development-activities-cgiar">http://iea.cgiar.org/evaluation/evaluation-capacity-development-activities-cgiar</a>
<b>Thematic Evaluation: Partnerships in CGIAR</b>	Inquiry phase inquiry phase to be completed by November 2016. Final report scheduled for Jan 2017	<a href="http://iea.cgiar.org/evaluation/evaluation-cgiar-partnerships">http://iea.cgiar.org/evaluation/evaluation-cgiar-partnerships</a>

## Update on 2016 activities

<b>Mapping evaluation coverage in CGIAR</b>	Completed, and presented to ECOP members.	
<b>Supporting the Evaluation Community of Practice</b>	Completed Oct 2016. Lead ECOP meeting and develop session for knowledge sharing and training for evaluation community members	