

CGIAR System 3-Year Business Plan (2019-2021) Companion Document

2019-2021 Advisory Bodies Work Plans and Budgets

Business Plan **8.1 - Implement System Council decision on advisory services**
Actions: **8.2 – Implement System Council agreed work plan of the Advisory Services Shared Secretariat ('Shared Secretariat')**

Purpose: This document collates proposed 2019-2021 workplans and summary budgets in the order identified below:

- **Annex 1:** Workplan of the Independent Science for Development Council
- **Annex 2:** Workplan and summary budget of the Standing Panel on Impact Assessment
- **Annex 3:** Workplan and summary budget for independent external evaluations that are commissioned by the System Council and expertly managed by the Shared Secretariat
- **Annex 4:** Summary budget table for advisory bodies and Shared Secretariat

Action Requested: The System Council is requested to consider, and if thought appropriate, **endorse** pursuant to article 6.1(u) of the CGIAR System Framework:

- a. The workplans set out in Annexes 1, 2 and 3 as agreed multi-year business plans for the bodies/functions; and
- b. The amounts set out in Annex 4 as the agreed budget projections for the 2019-2021 period for the respective bodies/functions, for inclusion into the 2019-2021 Research Financing Plan (SC7 meeting document SC7-G).

Document category: Working document of the System Council

There is no restriction on the circulation of this document

Prepared by: **Annexes 1 and 2:** ISPC Secretariat in consultation with, respectively, the ISPC Chair and SPIA Chair

Annex 3: CGIAR's Independent Evaluation Arrangement

Annex 4: System Management Office in consultation with ISPC Secretariat and IEA

Companion Document SC7-P - Annex 1

2019-2021 Workplan **The Independent Science for Development Council (ISDC)**

A. Introduction

The ISDC is coming into operation in 2019 after a process of evaluation, discussion and reform of the System's advisory services. 2019 will thus be a transition year for the new body, and we have reflected this in the work plan and budget in two ways. First, we have programmed and budgeted transition related activities in 2019, and second, we have restricted the planning for 2020 and 2021 to a highly generalized level since it will be necessary to revisit the plans for these years once the transition is complete and the new ISDC is fully operational. Overall, it is important to recognize that there are considerable uncertainties as to the operational needs of the ISDC in the next three years and therefore this work plan and budget will need to be updated and revised sometime in 2019.

In approaching the development of the ISDC workplan and budget for the 2019-2021 period we have taken note of key issues that were raised in the external evaluation of ISPC and during the internal discussions on reform of the advisory services, where we consider these would be important for improving in ensuring an efficient and effective ISDC.

These include:

- There is a need for greater consultation and clarity between the System Council, SIMEC and ISDC in developing the activities and reporting mechanisms of the ISDC.
- ISDC advisory work should be developed to support relevant areas of the CGIAR business planning cycle, including the development of the CGIAR 2030 strategy.
- The advisory services should enhance their cost effectiveness.
- Using the wealth of information and analysis already available from recent ISPC work will be an important means of improving cost efficiencies in the advisory services in this next work planning cycle

Each of these issues has been considered and responded to in the design of the ISDC 2019-2021 work plan and budget.

B. Overall organization and functions

Mandated work areas

The new TORs lay out the following functions for the ISDC:

- a) **Foresight**
 - a. Lead CGIAR System foresight studies;
 - b. Recommend relative priorities of CGIAR Research;
 - c. Provide expert contributions to a dynamic SRF.

b) Horizon scanning

- a. Analyze and assess key developments;
- b. Commission and guide in-depth studies;
- c. Produce guidelines, best practice briefs and protocols;
- d. Contribute to Business Plan cycle reviews;
- e. Critique SMO annual performance reporting.

c) Priority setting

- a. Conduct analytical work on priorities and trade-offs;
- b. Guidance on allocation of System resources.

d) Proposal assessment

- a. Analyze and advise on optimizing the CGIAR Portfolio:
 - i. Advise on effective research modalities and structures;
 - ii. Advise on proposal call and assessment processes;
- b. Provide commentary on proposed changes to current CRP prioritization, flagship elements and/or research structures;
- c. Manage proposal review by external experts;
- d. Facilitate information exchange between ISDC and CGIAR research leaders.

e) Other functions

- a. Utilize and exploit all research advice available across the System;
- b. Advise on research infrastructure and platforms policies and approaches;
- c. Convene strategic science discussions and international for a.

Under the new terms of reference for the ISDC, the council consists of eight members, including a chair. We have allowed for the chair to provide up to 50% of full-time equivalent to ~105 days over the year, and for council members an average of 25 days each. Staff in a newly constituted shared secretariat, that will also support the Standing Panel on Impact Assessment (SPIA) and carry out the evaluation function of the advisory services, will support the ISDC council. At present, the profiles of staffing for the shared secretariat are not finalized, however it is necessary to have a baseline assumption in order to develop the first iteration of the work plan and budget. These assumptions are provided in a separate document. Changes in the shared secretariat staffing from these baseline assumptions will obviously will have important implications for the work planning and budget and thus we expect some iterations will be necessary before the work plan and budget can be finalized.

In this work plan we have budgeted for one in-person meeting of ISDC in 2019. A second meeting via virtual means will also be organized. The meetings will be scheduled shortly (one month) in advance of the two System Council meetings in order to generate inputs from ISDC for consideration by the System Council, including but not limited to horizon scanning results. The number of meetings per year should be left to the discretion of the ISDC Chair, but are not expected to affect the budget.

C. Proposed activities 2019-2021 by function

Foresight:

In linking with the System-Level Business Plan and through its contribution to the crystallization of the CGIAR's major research themes, the first triannual work plan of the ISDC on foresight will aim to support the design of the System's 2030 Plan. The ISDC will contribute to this effort building on the foresight work done under the ISPC's work stream on **Foresight**, as well as that of the Science Forum 2018.

The ISDC will use this transition year to further development of the lessons learnt from the Foresight studies conducted in 2017 and 18 and continue dialogue with the System Council and SIMEC, taking note of thinking emanating from the SMB as appropriate. In light of on-going agricultural research for development (AR4D) in and outside the CGIAR, the aim is to provide strategic intelligence on key issues shaping the agriculture and food systems innovation over the coming decades at global and regional levels, particularly with reference to opportunities from outside traditional CGIAR sectors.

Foresight activities 2019

- Analysis of recent Foresight studies led by the ISPC and others for strategic guidance as per agreement with System Council
- Workshop with System Council

By 2021:

- In consultation with the System Council, by 2021 the ISDC will have provided advice on options for future directions of AR4D research programs to inform the new CGIAR strategy (2022-2030), in the broader context of SDGs.

Horizon Scanning:

Under its *Horizon Scanning* work stream, the ISDC will use the 2019 transition year to conduct a dialogue with System Council on the specific horizon scanning activities that the SC would like. Since horizon scanning requires frequent gathering of intelligence of political, social, economic, environmental and technological trends, the transition year activity will start with the development of a protocol of the process and content of a regular horizon scanning exercise. The initial focus of HS will be on the challenges identified in the ISPC foresight and the Global Challenges that are likely to be taken forward in the 3-year Business Plan. These include but are not limited to the following:

- Changes in technological and contextual drivers to explore how current funding models, evaluation traditions, and path dependency affect the rate and direction of innovation;
- Shifts in planetary boundaries related to agriculture;
- Shifts in interaction of agriculture, food, diets & nutrition and health;
- Developments related to gender and inequality in the agricultural and food system space;
- Developments on food availability, agricultural productivity and diversification;
- Shifts in demography, youth participation and broader indications of agricultural transformation.

The horizon scanning protocol is likely to combine multiple approaches for taking in evidence and locating expertise, including from ISDC council members, analysis of secondary sources of data and analysis, expert interviews, and stakeholder workshops. This protocol will be presented and discussed with System Council members. The consultation will take the form of interviews, e-consultations and an in-person workshop in order to come to a clear agreement and plan for moving this work stream ahead.

Horizon scanning activities 2019:

- Analysis and synthesis of secondary data and information sources
- Structured dialogue for information gathering with experts within and external to CGIAR
- E-consultation, expert interviews
- Workshop with System Council

By 2021:

- In consultation with the System Council, by 2021 the ISDC will have developed a protocol and system for conducting and reporting on horizon scanning.

Priority Setting:

The **Priority Setting** work stream in the 2019 transition year will focus on summarizing, synthesizing and where needed expanding, the analytical work already undertaken by the ISPC on priorities and trade-offs in relation in particular to the Science Forum. There is a considerable wealth of work that has been done by ISPC that has not been fully exploited by the System for developing priorities. Thus, one of the main objectives of the priority setting work stream in 2019 is to mine the intellectual capital that has already been generated, to advise on priorities in the context of the development of the 2030 CGIAR strategy. Specifically, the ISDC priority-setting work will focus on advising on the relevance, weighting and emphasis to be given to proposed CGIAR activity in major research areas to ensure the resultant portfolio is coherent, relevant, and achieves impact at scale.

Priority setting activities 2019:

- Characterization and synthesis of existing trade-off analyses and their implications for priority setting;
- Analysis and synthesis of recent experience with prioritization to support guidance on allocation of System resources;

By 2021:

- In consultation with the System Council and other relevant System entities, the ISDC will develop guidance on priority setting at the System Level and support efforts for its implementation.

Proposal Assessment:

Activity within the ISDC portfolio in respect of **Proposal Assessment** in the transition year will be related to the application of the System's Quality of Research for Development Frame of Reference to the new proposal review assessment process. ISDC activity in providing robust impartial assessment of funding requests for research proposals is likely to pick up towards the end of 2020, as the System moves towards a renewal of its research portfolio through a call for priority research proposals.

Proposal assessment activities 2019:

- Analysis of options for proposed changes to current CRP prioritization, flagship elements and/or research structures;
- Manage proposal reviews conducted by external experts

By 2021:

- Launch and implementation of new guidance for proposal review;
- Review of new CGIAR research portfolio.

Other functions:

Finally, the ISDC expects that most SC requests for broader guidance on matters concerning the strategic direction of CGIAR and the value of its research agenda is likely to be included under the heading **Other functions** in its ToR. Emerging issues that cannot be included under ongoing activities will be programmed in the ISDC work plan on an as needed basis and with accompanying budget support.

Annex 1 – Companion Document SC7-P
Advisory Services Workplans and Budgets

The ISDC will conduct most of its business and interaction with other System entities through virtual means, on a needs basis, supported by relevant virtual discussion panels and through a series of bespoke webinars. One face-to-face Council meeting open to all other System entities will be organized approximately one month before the SC-meeting in November.

Other function activities 2019:

Publications: publication of the papers prepared for the Science Forum 2018 in peer-reviewed journals

The ISDC budget request for the 2019-2022 period is USD 2.76 million, all of which will be drawn from System Funds.

ISDC – Work planning 2019 – 2021

Expected distribution of workload by function as linked to CGIAR Business Cycle

Work stream - activities	2019	2020	2021	Links to Major Research Themes	Links to Business Plan
Foresight a. Lead CGIAR System foresight studies; b. Recommend relative research priorities; c. Provide expert contributions to a dynamic SRF	*** * *	** ** *	* *** ***	*** *** ***	** *** **
Horizon scanning a. Analyze and assess key developments; b. Commission and guide in-depth studies c. Produce guidelines, best practice briefs and protocols; d. Contribute to Business Plan cycle reviews; e. Critique SMO annual performance reporting	** *** * * *	*** *** ** ** *	* * *** ** *	*** *** ** * -	** * * *** ***
Priority setting a. Conduct analytical work on priorities and trade-offs; b. Guidance on allocation of System resources	** *	** *	** *	*** -	** ***
Proposal assessment a. Analyze and advice on optimizing the CGIAR Portfolio; b. Provide commentary on proposed changes to current CRP prioritization, flagship elements and/or research structures; c. Manage proposal review by external experts; d. Facilitate information exchange between ISDC and CGIAR research leaders	* - - *	** ** ** ***	*** *** *** **	*** *** - ***	*** ** - -
Other functions a. Utilize and exploit all research advice available across the System; b. Advice on research infrastructure and platforms policies and approaches; c. Convene strategic science discussions and international fora	* * -	* * **	* * -	* ** **	- ** *

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SPIA Workplan 2019-2021: Narrative summary

Introduction

This work plan and budget reflects CGIAR's strong commitment to the essential role of credible, objective impact evidence in enabling the System to deliver against the Strategy and Results Framework. The scope of SPIA's work plan is defined by its new TOR and the six-year impact assessment implementation plan, key principles of which are:

- SPIA work complements Center/CRP work to provide a compelling evidence base for system impact
- Due to the nature of CGIAR impact pathways, building an evidence base for impact will require synthesis and triangulation of results from multiple studies using different methods and in different contexts.
- Robust data on adoption of CGIAR innovations at scale are a crucial element of the case for impact.

During 2018, SPIA produced several synthesis documents, conducted an e-consultation, and conducted four feedback events. In addition, SPIA Panel members and secretariat staff participated in many other meetings with impact assessment specialists, other researchers, research managers, and representatives of system entities, the results of which also informed this work plan.

Ex Post Impact Assessment in the Business Plan. Taken together, the three objectives of the workplan contribute to many of the 10 Action Points of the 2019-2021 Business Plan, in particular:

Implement and enhance the current portfolio (Action 1). The results of recent SPIA-supported work are already challenging conventional wisdom and influencing the work of current CRPs and platforms as well as thinking about possible future initiatives¹. This is happening as a result of SPIA's active engagement and strong convening power across the System and with external partners who bring complementary expertise. This engagement with centers and programs would continue in subsequent business cycles, based on new data and evidence from future studies. Investments in institutionalizing the regular collection of adoption/diffusion at scale, in methods development, and in a portfolio of carefully chosen impact studies will be essential to inform implementation of the CGIAR Strategy to 2030.

Strengthen program performance management (Action 4). SPIA complements and builds on SMO's work on results reporting and performance management. Standards and guidelines developed for impact assessment studies inform results indicators (e.g., for outcome and impact case studies). Rigorous evidence of diffusion of key CGIAR innovations at scale in priority countries validate projections from CRPs. SPIA will also use results of the performance management system as an input to constructing the portfolio of future impact assessment studies. Results of IA studies in turn inform the evaluation and foresight work streams of ISDC.

¹ For example: building on SPIA results on collection of varietal identification data, SPIA convened a workshop with the Excellence in Breeding Platform in January 2018 to develop [guidance on using DNA fingerprinting at scale in household surveys](#), of clear relevance for the new Breeding initiative; Building on SPIA findings showing unexpectedly low adoption levels of on-farm NRM practices, [SPIA convened a workshop at IFPRI in February 2018](#) attended by researchers from centers and CRPs working on sustainable intensification to discuss implications for future farm-level NRM research; In conjunction with the Science Forum 2018, SPIA held a one day workshop on impact assessment of NRM research at landscape scale with centers/CRPs involved in developing the landscape restoration initiative.

Collaborate on shared resource mobilization and communication (Action 10). Evidence on past and likely future impact of CGIAR research on SRF/SDG outcomes is an essential element of building and maintaining funder confidence. SPIA’s role in generating credible, objective evidence; in strengthening impact assessment in CGIAR centers and programs; and in building awareness across the system of how impact evidence can be interpreted and used will support the effectiveness of resource mobilization efforts.

For continuity, the work plan presented here has the same structure as the more detailed proposal that SPIA shared with SIMEC in May 2018:

1. Support CGIAR’s strong commitment to embed a culture of impact assessment into the System
2. Expand and deepen evidence of impact of CGIAR research investments on CGIAR SRF outcomes and associated Sustainable Development Goals
3. Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data systems designed to track progress on SDGs

Links to the elements of the recently approved TOR are footnoted throughout this document. The work plan is for three years however it is part of a six-year plan and budget (Table 1). At SIMEC’s request, we prepared two budget scenarios. The narrative plan is based on the full budget, and areas of potential reduction are identified.

Table 1 - Budget overview

SPIA Program Activities	2019		2019 - 2021		2022 - 2024		2019 - 2024	
	Full Budget	Reduced	Budget	Reduced	Budget	Reduced	Budget	Reduced
1. Supporting the impact culture in CGIAR	214,861	139,827	1,204,009	887,396	1,296,166	1,141,859	2,500,175	2,029,256
2. Expanding and deepening evidence of impacts of CGIAR research on SLOs	561,964	547,341	3,908,691	3,845,978	1,998,704	1,994,757	5,907,394	5,840,735
3. Improving and institutionalizing collection of data	1,332,052	1,182,909	3,944,843	3,437,768	2,947,125	361,255	6,891,968	3,799,023
Oversight, Management and M&E	9,940	9,940	64,820	64,820	59,820	59,820	124,640	124,640
TOTALS	2,118,817	1,880,017	9,122,363	8,235,963	6,301,815	3,557,692	15,424,178	11,793,654

Objective 1: Support CGIAR's strong commitment to embed a culture of impact assessment into the System

(3-year Budget: USD 1.2 million; USD887K in reduced scenario)

The IA community in CGIAR includes not only impact assessment specialists but also those who use IA results and who make decisions about investing in generating them. Engaging this broader community is essential to strengthening the impact culture since this is often where the constraints to more and better impact assessments by CGIAR centers and programs lie.

A key element of engaging the broader community is to **develop and share synthesis products and guidance for research managers on understanding and using IA results in program design**². The main synthesis products from the more than 50 component research projects that made up the Strengthening Impact Assessment in the CGIAR program (2013-2017) were largely completed in 2018³. In 2019 we start work on the development of a Guidance document. We envision this to be a key document of CGIAR IA and the basis for capacity strengthening for both the broader community and the impact assessment specialists. For the broader community, for example, there will be a section on using and empirically testing components of theories of change⁴. We plan to consult extensively on content and format in 2019, for development and dissemination in 2020. The Guidance will be a living document to which new information and examples are added, however we expect it to be fully available by mid-2020 and being used by CGIAR stakeholders by 2021.

Main outputs 2019

- SPIA strategy aligned to CGIAR's longer-run 2019-2030 work programming⁵
- Elements of IA Guidance document identified
- Synthesis documents (Results across SLOs; DNA Fingerprinting) finalized
- SPIA communication and influence strategy developed⁶
- Communication of results, in the form of presentations, reports or think pieces, to target audiences inside and outside CGIAR (including System Council)
- Plan for an expanded IA Community of Practice (CoP) developed

Main outputs and outcomes by 2021

- Draft guidance available and being used by research managers and IA specialists
- At least three CoP-related events conducted aimed at strengthening IA culture across the system, especially among research managers (who were highlighted in the e-consultation as a key group that needed to be more engaged in IA)
- Greater awareness of CGIAR impacts among key stakeholders

While engaging the broader community is important, we will continue to work closely with the impact assessment focal points of centers and CRPs on **strengthening capacity to conduct rigorous impact assessment**⁷. We will also facilitate early review and support for design of strategic IA studies and review of center/CRP impact assessment strategies. This will contribute to the development of standards, protocols, and related training on impact assessment in CGIAR. While training courses

² These activities are described in 3.2, especially d, e and g, of the TOR

³ Key synthesis documents include Herdt, 2017; Bulte, 2018; Gollin, Probst and Brower, 2018; Stevenson, Macours and Gollin, 2018; Stevenson and Vlek, 2018; .

⁴ See 3.2e of SPIA TOR

⁵ See 3.1 of SPIA TOR

⁶ ISPC developed a communication strategy and updated its website in 2017. This will be adapted for SPIA as per new TOR.

⁷ See 3.3 of the TOR

may still be useful on specific topics, the capacity strengthening activities will focus more on supporting pre-docs, PhDs, and postdocs for fellowships, and help facilitate collaborations with eminent IA specialists to ensuring high quality, independent studies.

Main outputs 2019

- Feedback on 20 center/CRP studies and strategies
- Draft standards and protocols
- Plan for fellowships
- Workshop bringing together eminent IA researchers and CGIAR researchers

Main outputs and outcomes by 2021:

- Standards and protocols available and in use
- At least 10 fellowships funded;
- At least three match-making events held;
- System in place for early feedback on IA study designs

Finally, SPIA proposed to focus on **improving the usefulness and the use of data collected in impact assessment**. This will include developing and supporting use of good practice when data sets are made public (in compliance with CGIAR policies) and supporting integration with initiatives that enable datasets to become Findable, Accessible, Interoperable and Re-useable (FAIR). To enhance use of SPIA data for additional analysis—we would take steps to make the data more widely known and available and offer sub-grants for studies doing further analysis of SPIA data.

Main outputs 2019:

- Guidance for data management and data publication
- Subgrant mechanism set up to enable further analysis of SPIA data

Main outputs and outcomes by 2021:

- Data sets being used
- At least two data events held
- Results of funded studies available

Reduced budget scenario: This sub-component would only include building capacity to comply with good practice related to data quality and availability.

Objective 2: Expand and deepen evidence of impact of CGIAR research investments on CGIAR SRF outcomes and associated Sustainable Development Goals
(3-year budget: USD 3.9 million; USD3.8 million in reduced scenario)

While SPIA's goal under Objective 1 is to increase CGIAR center capacity to be the main source of robust impact assessments on CGIAR Research⁸, SPIA has a critical role in conducting or commissioning impact assessments to complement center work. Topics will be selected in consultation with key stakeholders in centers, CRPs, and will be aligned to future business plans and to the CGIAR 2030 strategy⁹. These studies would be of three types: Studies documenting long-term, large scale impacts of research on SRF outcomes (**Accountability studies**); Coordinated sets of impact assessments of more recent innovations where results can inform both scaling up strategies and

⁸ See 3.3b in Shared Secretariat TOR

⁹ See Section 3.2, especially c and f of SPIA TOR

research priority-setting (**Learning-oriented studies**); and studies that pioneer development of new methods for under-evaluated areas, including collection of data on adoption, policy influence and impact assessment (**Methods development**)¹⁰.

Main outputs in 2019:

- Accountability studies: Rolling call for long-term studies launched; two studies funded for implementation and two others identified for further development of both the design and team (including external links)
- Learning-oriented studies: Based on consultations conducted in 2018, issue a call for expressions of interest around key topics; review potential studies; planning workshop(s) conducted
- Methods development: Background analysis conducted, consultations to support prioritization of topics and launch of a call for proposals

Main outputs and outcomes by 2021:

- Full portfolio of studies funded and in progress
- Some intermediate results available on areas prioritized and funded in 2019
- Methods work published and integrated into guidance materials (see Objective 1)

Objective 3: Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data systems designed to track progress on SDGs
(3-year budget USD 3.9 million; USD 3.4 million in reduced scenario)

SPIA has been working to improve the accuracy and efficiency of collection of data on adoption of CGIAR innovations and on key CGIAR outcomes, and to integrate collection of this data into large-scale surveys regularly integrated by national systems. We propose to do this work in a small set of priority countries as proof of concept and to develop a strategy for institutionalization. This area of work at this level of intensity would not form part of SPIA's long-term agenda but is something that it is timely to do now given investment in data collection systems for SDGs and given emerging results about the shortcoming of both methods and scales of past data collection efforts in CGIAR¹¹. Central to this work is the ongoing partnership between SPIA and the World Bank Living Standards Measurement (LSMS-ISA) team to strengthen the statistical capacity to capture CGIAR outcomes at a representative scale in key countries.

Key outputs in 2019:

- Complete data collection and carry out DNA fingerprinting analysis of wheat, maize and sorghum data in Ethiopia (with CIMMYT and ICRISAT)
- Test new methods for gathering data on adoption/use of key innovations and related outcomes
- Preparations for national collection another LSMS-ISA country
- Initiate consultations and background analysis for selection of two additional countries
- Initiate consultations on institutionalization strategy

Key outputs and outcomes by 2021:

- Results from two countries available and used

¹⁰ See section 3.2 a and b in TOR and component 3 below

¹¹ This work relates to 3.2 of SPIA TOR, especially a and b.

- Results from methods tests available and standards and protocols defined
- Plan for implementation at scale in additional countries (including at least one in Asia) ready to start in 2022, including commitments from national statistical agencies
- Strategy for institutionalization available and key actors in the strategy actively engaged in operationalization

Reduced budget scenario: In a reduced budget scenario, we would only collect country-level data in two countries in Africa. On the basis of those experiences plus past work in this area, we would then develop an institutionalization strategy by 2021. SPIA would not engage in overseeing large scale data collection beyond 2021, however we would continue to be involved in testing methods of data collection.

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Summary Proposal for a three-Year Workplan and Budget and Staffing Capacity for the Evaluation Workstream

Evaluation Planning for the New CGIAR Business Cycle

In 2018, the System Council members approved an approach¹ for the introduction of a multi-year business plan that aims to link appraisal, planning, implementation, evaluation in a three-year cycle whereby each step is informed by a form of assessment and analysis, and with research and management performance driving the process. The first three-year business cycle is scheduled to start in early 2019, when the current CRPs will be in their third year of implementation (having initiated in 2017).

The CGIAR business plan, as proposed to System Council and System Management Board members, incorporates evaluations as an integral component of the cycle, with 2018 being a preparatory year to agree on a CGIAR evaluation plan, and completion of planned evaluations by 2021². In addition, the business plan proposes the introduction of annual program performance standards as a complementary assessment tool to the regularly scheduled evaluations.

This document therefore presents the second Rolling Evaluation Work Plan for CGIAR (REWPII), covering the period 2019-2021. The REWPII builds on the information, knowledge and experience gained from the first cycle, and responds to the current developments and evolving needs of CGIAR in terms of performance management. A second section provides estimates of the budgets necessary to implement the plan. The budget and work plan are obviously closely tied to the capacity needs and staff profiles of the evaluation workstream of the new Shared Secretariat. The last section describes the staffing capacity and profiles required to implement the evaluation work plan.

I. Rolling Evaluation Workplan for CGIAR (REWP II)

Responding to changes: New evaluation function and development of three-year business cycle

The first cycle of evaluation assessed the entire research portfolio of CGIAR, and offered lessons learned for individual CRPs, while also capturing patterns, trends, and lessons across the entire portfolio and System. The evaluations and Synthesis highlighted four factors shaping CGIAR which have a direct influence on how the CGIAR evaluation system needs to evolve: (i) despite the programmatic approach, Centers lead research implementation in CRPs; (ii) with the latest governance reform, collective management at the System Management Board is done largely by Centers through DG representation; (iii) CGIAR is investing in an integrated performance management system; and (v) despite a Policy calling for and plans for Center and CRP commissioned evaluations, only a very limited number of evaluations are being carried out across the System.

¹ To be submitted for endorsement in November 2018

² See table page 12: https://www.cgiar.org/wp/wp-content/uploads/2018/05/SC6-02_CGIAR-Business-Plan-Concept.pdf

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In this REWP II, the main changes to the evaluation approach are the following: i) timing of evaluations to match with the CGIAR business model to be implemented in 2019 ; (ii) incorporating, as appropriate, assessment needs performance-based management system; iii) introducing flexibility in evaluation scope; iv) greater harmonization of evaluation methodology for comparability; and (iv) streamlining evaluations to increase efficiencies.

Developing an Integrated evaluation approach: main elements

The proposed evaluation model is designed to evaluate the current research portfolio, with the assumption that every CRP will be evaluated within the three-year business cycle. While CRPs will continue to be the object of evaluation, the fundamental role of Centers in managing research will now also be recognized and participating Center's contribution and performance will be assessed.

CGIAR portfolio is composed of 12 programs and three platforms. It is both unrealistic and unnecessary to carry out comprehensive evaluations on every component of the research portfolio in a three-year cycle. Flexibility concerning scope and focus would be exercised to address the specific context of each program, and particular issues and needs identified through consultation and on basis of prior assessments. Evaluations will therefore focus, more so than previously, on specific areas of performance and progress, drawing more on ISPC's "at entry" appraisals and donors' reviews and thus, more likely, focus on scientific credibility and effectiveness (i.e. program progress towards stated milestones and goals), and any areas that have changed since approval "at entry". The appraisals and reviews will also serve to refine the evaluation scope by identifying areas to focus on, or areas which, if positively appraised, would not need a thorough assessment.

The proposed model also builds on progress made in monitoring, reporting and assessment across CGIAR, and on work already accomplished through the different CGIAR units/communities. The latest developments in the areas of monitoring and management information systems (MARLO and MEL) now allows the collection of program information and pre-analysis to be completed internally by evaluation staff members, thus increasing efficiencies and opportunities for harmonization. Pre-analysis conducted internally would include reviewing program portfolio and changes thereof, bibliometric analysis, and analysis of annual reports. If the CRP has already undergone an evaluation in an earlier cycle, staff will also provide update on developments and response to previous evaluation recommendations. The model would also assist in operationalizing the performance standard framework being developed, by identifying which standards are best assessed through an evaluation, and the appropriate methodology.

Table 1: Increasing Efficiency and Interlinkages: Inputs and Efficiency Gains for Evaluations

System Process/ Input	Focus	Integration into Evaluation/ Efficiency Gain
Appraisal	Feedback and assessment of ISPC and donors during the proposal process	Evaluation will focus mainly on areas of concern noted during the appraisal and review process, and less so on areas which were deemed of high quality.
Monitoring	Program monitoring data and information	Access to MARLO and MEL by evaluation staff for data and information collection and to conduct pre-analysis of programmatic information (bibliometric, financial and mapping analysis).
Reporting	CRP annual reports agreed to by SC/SMO	Access to program reports by evaluation staff to conduct necessary analysis across all evaluations, thus reducing external expert cost
Performance Management standards	Newly approved standards by SMO/SC	Mapping of performance standards to evaluation criteria to ensure consistent and harmonized reporting on topic area.
Previous evaluation (where applicable)	Responses and changes to program	Analysis by evaluation staff on program developments and changes, highlighting any areas for evaluation to focus on to assess changes and improvements.

Evaluation Focus and Scope

Program evaluations are designed to answer a series of evaluation questions under specified and prioritized evaluation criteria. As a complete set, the criteria include four elements of Quality of Research for Development frame of reference (relevance, scientific credibility, legitimacy, and effectiveness), impact and its sustainability, and management efficiency. It is important that to the extent possible, evaluations complement and build on results available from other sources.

Figure 1: Evaluation Criteria



Evaluation Criteria for CGIAR programs

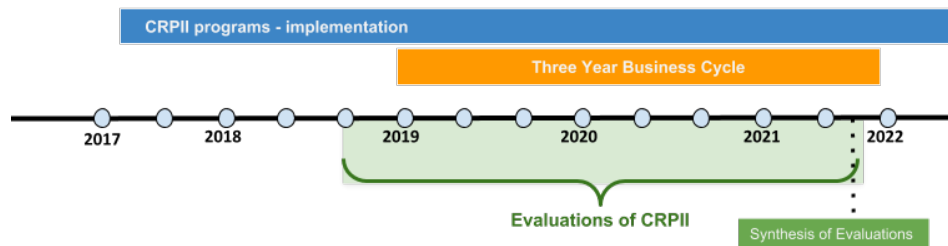
At the same time, to enhance consistency and comparability between evaluations of different programs and over time, the methodology for assessing specific criteria is made more uniform. This is achieved by consistent inclusion and use of data and information and pre-assessment of data by evaluation management, with the evaluation team putting its major focus on analysis and interpretation of information and meta-data.

Program evaluation may look at both programmatic and organizational aspects. Given that CGIAR centers are the main implementers of research in any program, evaluations will assess center-specific performance and contribution to program content and objectives, particularly in areas that are largely under the control of the centers.

Designing evaluation cycle: 2019-2021 Evaluation plan

As CRPII programs have initiated in 2017, the evaluation cycle (and first year of REWPPII) will start on year three of research program operations (see figure below).

Figure 2: Overlapping Cycles: CRP implementation, Evaluation and the business cycle



The proposed sequence of CRP evaluations, the planning of which is proposed to start last quarter of 2018, is presented in the table below, together with an analysis of the criteria used. CRPs rated in the ISPC appraisal as A or A+ and having been part of the latest batch of evaluations in the first evaluation cycle will be left for the second year of the business cycle. CGIAR Platforms (Genebanks, Excellence in Breeding, Big Data) are system level service platforms aimed at strengthening the foundation for effective implementation of research and delivery of CGIAR outcomes, and are a new modality of work in this current cycle. The evaluation schedule therefore proposes to evaluate the Platforms at the end of the cycle in order to feed from the needs identified via the CRP evaluations.

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Table 3: 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 (2019 completion)			
FTA	2013		Overall B+ (flagship 2 weak)
Evaluations for 2019			
FTA (cont)			
LIVESTOCK	2015*	New CRP	Overall B+ (flagship 5 weak)
MAIZE	2014		A- (flagship 5 weak)
A4NH	CCEE 2015		A
WHEAT	2014		A-
Evaluation for 2020			
PIM (excluding the gender platform to be evaluated later)	2015		A-
WLE	2015		Overall A- (flagship 5 weak)
CCAFS	2015		A
GRiSP/ RICE	2016	Slight	A
FISH	2015*	New CRP	Overall B+ (Flagship 3 weak)
GLDC	CCEE 2015 **	New CRP	
Evaluations for 2021			
RTB	2015		A
Excellence in Breeding	NA	New	A-
Genebanks	2016	Expanded	A
BIG DATA	NA	New	A
Gender			
Synthesis of CRP Evaluations			

CCEE: These are CRP commissioned evaluation. As per FC request, 5 CRPs self-commissioned evaluations with quality assurance guidance provided by IEA.

* 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

**Three former CRPs (Grain Legumes, Dryland Cereals, and Dryland Systems) each conducted a CRP commissioned evaluation in 2015. Elements of the 3 CRPs have now been incorporated into the new CRP GLDC

II. Proposed Three-Year Budget Plan

The following table provides estimates for the 2019-2021 period to implement the proposed workplan. The budget was developed with a lot of unknowns given that 2019 is a transition year with the capacity and functions still to be determined. Other factors which may have an impact on the budget is the development and refinement of the new business cycle and the performance management system, which may affect the scope and scheduling of evaluations. We therefore would expect that in mid-2019 the budget would be revisited and revised as necessary.

The budget does not include personnel cost nor any non-evaluation activities. The budgets are based on the assumption of a staffing capacity dedicated to the evaluation workstream in the new Shared Secretariat as described in the following section.

Budget notes follow table below.

Budget Header	Budget 2019	Budget 2020	Budget 2021
	(a)	(b)	(c)
Consultancy	750	900	900
Professional fees			
Travel	130	155	155
Facility maintenance			
Office Expenses	20	20	20
Publication	15	15	15
Meetings and Workshops	65	75	75
Contingency			
TOTAL	980.00	1,165.00	1,165.00

Budget notes:

“Consultancy”: includes high level experts selected with specialized expertise in each research program area and able to cover the major research and program themes for each CRP. It may, depending on the needs of the team and the complexity of the program, include evaluation support consultants.

“Travel”: for evaluation team and staff for field site visits and visiting of Lead Center.

“Office expenses”: administrative costs (materials, software, hardware), also includes logistical and IT support for staff and meetings.

“Publication”: all communication costs for the evaluation (website, report production, videos, webinars, etc).

“Meetings and workshops”: evaluation team meetings to communicate findings and results of evaluations. Includes technical workshops organized by secretariat staff on topics related to assessment

and appraisal of programs. Also includes training for staff and staff participation/costs to attend evaluation or system-level meetings.

III. Shared Service Secretariat - Team for the Evaluation Workstream

The Shared Secretariat is a new model of working together for the advisory services of CGIAR. The model aims to increase ownership of advice by (i) linking activities and outputs more closely to the needs and cycles of the CGIAR System, and (ii) aiming to increase cost efficiencies of the advisory services.

The proposed work plan was developed to reflect and respond to the needs of the three-year business cycle currently being finalized, which calls for a cyclical evaluation system to cover the entire portfolio. In addition, and following consultations and discussions on a new program performance management framework, the work plan integrates elements of the performance framework to enhance and support cohesiveness and harmonization across the evaluations.

In order to enhance efficiencies, the work plan proposes for evaluation staff members to conduct collection, review and pre-analysis of program information. This would not only further support harmonization and consistency across evaluations, but would also reduce the number of days needed for high-level experts to perform these duties. As such, the budget and work plan are closely tied to the capacity needs and staff profiles of the evaluation workstream and outlined below. Additional consultants, to assist on specific evaluations and support the staff in research, analysis, and logistics may also be required.

Senior Evaluation officer (dedicated 100% to evaluation workstream)

The Senior Evaluation Officer will lead and be responsible for the overall management of evaluation work plan and deliverables, and lead the workstream. In particular, S/He will:

- Develop, in consultation with stakeholders in CGIAR, a multi-year evaluation plan to be in alignment with the CGIAR business plan and respond to the needs of evaluative information for decision-making, learning, and accountability in CGIAR
- Liaise with the System Council, the System Organization and the Centers on evaluation matters; and lead and provide overall direction in the development of evaluation strategy, policies and plans to ensure: a) timely and effective approaches to evaluating the performance and results of policies, programmes and activities; b) application of the normative framework, and development of quality support and assessment mechanisms
- Lead/ Manage highly complex evaluation processes from preparation and design through to completion evaluations of CGIAR Research Programs (CRPs) and support the periodic evaluation of the CGIAR system as a whole; as well as ad hoc evaluations identified by System Council;
- Oversee and manage overall budget of the workstream, as well as budgets of individual evaluations
- Lead the preparation of evaluation reports and synthesis of evaluations including reports to the System Council, System Organization and Centers;
- Lead the development of evaluation methodology and evaluation good practices adapted to research evaluation;

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Evaluation Officer (dedicated 75% to evaluation workstream)

The Evaluation Officer will be an experienced professional in managing evaluations and supporting evaluation teams, preparing and overseeing budgets, and communicating evaluation findings. In particular, S/He will

- Manage evaluation processes and budgets from preparation and design through to completion to ensure the production of independent, credible evidence that meets high professional standards
- Source, hire and supervise external consultants to ensure the production of evaluations
- Engage stakeholder groups, both internal and external to CGIAR, appropriately in the evaluation process and manage communications.
- Contribute to the application of the normative framework, and development of quality support, assessment mechanisms
- Promote CGIAR's evaluation culture of accountability and learning through analyzing evidence and lessons;
- Lead communication efforts to increase visibility and use of evaluations through preparation of synthesis and summaries of evaluation findings and recommendations; and prepare presentations of these, tailoring messages to specific audiences and platforms, and working with internal and external stakeholders to enhance learning from and use of evaluation evidence in policy, programme and project design.

Evaluation/Research Analyst (dedicated 50% to evaluation workstream)

The Evaluation Analyst/Research Associate will be responsible for collecting and compiling program information, conducting pre-analysis on programmes, and supporting evaluation teams. In particular, S/He will:

- Conduct preparatory work and analysis for evaluations, balancing between need for targeted program-specific analysis and harmonization /comparability across evaluations ;
- Compile information and background material for evaluations, and work closely with evaluation teams to provide support and information as needed;
- Contribute to the planning, budgeting and implementation of evaluations;
- Assist in the design of the evaluation framework and of evaluation tools;
- Liaise with program/unit under evaluation and provide logistical assistance;
- Carry out specific research, synthesis and reviews;
- Participate in evaluation missions to support evaluation teams as needed;

Companion Document SC7-P - Annex 4

Collation of Budget Proposals Received For ISDC, SPIA, evaluations and operations of the Shared Secretariat

This Annex 4 comprises the following three tables:

Table 1: **Indicative grading structure for 9 professional roles for the CGIAR Advisory Services Shared Secretariat** (as set out in Paragraph 5.1 of the 4 October 2018 System Council approved Terms of Reference, with an effective date of 1 January 2019)¹

Table 2: **2019-2021 Summary Budgeted data as submitted** (including indicative costs for Rome co-location with the System Management Office)

Table 3: **2019-2021 Summary Budget data by cost category** (using SPIA high-scenario and excluding indicative costs for Rome co-location with System Management Office)

¹ TOR is accessible here: <https://www.cgiar.org/wp/wp-content/uploads/2018/10/TOR-SharedSecretariat-Approved-4Oct2018.pdf>

Table 1: Indicative grading structure for 9 professional roles for the CGIAR Advisory Services Shared Secretariat

** Interpretation note: This material is provided for illustrative purposes, having informed the ‘personnel’ costs line item for Table 3 (following). No role titles have been determined at the time of issue of this paper

Operating entity	Indicative Title of Roles (not already determined)	Duty Post	System Organization Grade	UN equivalent
Shared Secretariat	Head, Shared Secretariat	Rome	8	P6/D1
Shared Secretariat	Senior Advisor	Rome	6	P5
Shared Secretariat	Senior Advisor	Rome	6	P5
Shared Secretariat	Senior Advisor	Rome	6	P5
Shared Secretariat	Senior Officer	Rome	5	P4
Shared Secretariat	Technical Officer	Rome	5	P4
Shared Secretariat	Program Officer	Rome	4	P3
Shared Secretariat	Communications Officer	Rome	4	P3
Shared Secretariat	Research Assistant	Rome	3	P2

Table 2: 2019-2021 Summary Budgeted data as submitted (including indicative costs for Rome co-location with System Management Office)

System entity	2015 Actuals	2016 Actuals	2017 Actuals	2018 Budget Ceiling	Based on SPIA low scenario			Based on SPIA high scenario			
					2019	2020	2021	2019	2020	2021	2019-2021 Total
ISDC *	0.86	1.42	0.95	0.74	0.87	0.95	0.93	0.87	0.95	0.93	2.76
SPIA ** (Core support to Panel and mainstreaming impact assessment work - SIAC through to 2017)	2.98	3.12	2.44	0.45	1.88	3.15	3.20	2.12	3.44	3.56	9.12
External independent evaluations ***	3.20	1.98	1.23	0.97	0.98	1.17	1.17	0.98	1.17	1.17	3.31
ISPC Secretariat - Staffing and Expenses ****	2.01	1.80	1.90	1.75	N/a			N/a			
Shared Secretariat *****	N/a				1.62	1.67	1.72	1.62	1.67	1.72	5.01
Cost of co-location of Secretariat in Rome	N/a				0.45	0.45	0.45	0.45	0.45	0.45	1.35
Annual total	9.05	8.32	6.52	3.91	5.80	7.39	7.47	6.04	7.68	7.83	21.55
		3 years 2016-2018		18.7	3-years Business Plan		20.66	3-years Business Plan		21.5	
		3 years 2015-2017		23.9		Compared to 2016-2018	110%		Compared to 2016-2018	115%	
						Compared to 2015-2017	86%		Compared to 2015-2017	90%	

Key

* ISDC - read as ISPC for 2015-2018 period

** SPIA - Figures for 2015-2018 include till mid 2017 the SIAC special initiative

*** Read as IEA for 2015-2018 which for that period also included staffing and externally commissioned evaluations

**** Covers staffing and office expenses for ISPC and SPIA in the 2015-2018 period (discontinued from 2019 as now the Shared Secretariat)

***** Covers staffing, travel and meeting expenses for ISDC, SPIA and Evaluations in the 2019-2021 period

Table 3: 2019-2021 Summary Budget data by cost category (excluding indicative costs for Rome co-location with System Management Office)

2019 Proposed Budget	ISDC	SPIA (High scenario)	Evaluations	Shared Secretariat	Total
Personnel	0	0	0	1,556,280	1,556,280
Consultants	295,000	763,217	750,000	0	1,808,217
Honorarium fees	239,050	102,600	0	0	341,650
Professional fees	0	0	0	0	0
Travel	104,000	78,000	130,000	20,000	332,000
Office Expenses	0	120,000	20,000	10,000	150,000
Sub-grants	50,000	1,020,000	0	0	1,070,000
Publications	25,000	0	15,000	13,000	53,000
Meetings & Workshops	156,000	35,000	65,000	20,000	276,000
	869,050	2,118,817	980,000	1,619,280	5,587,147
2020 Proposed Budget	ISDC	SPIA (High scenario)	Evaluations	Shared Secretariat	Total
Personnel	0	0	0	1,602,968	1,602,968
Consultants	388,850	935,141	900,000	0	2,223,991
Honorarium fees	246,222	102,600	0	0	348,822
Professional fees	0	0	0	0	0
Travel	107,120	70,000	155,000	20,600	352,720
Office Expenses	0	120,000	20,000	10,300	150,300
Sub-grants	51,500	2,073,000	0	0	2,124,500
Publications	0	0	15,000	13,390	28,390
Meetings & Workshops	160,680	140,000	75,000	20,600	396,280
	954,372	3,440,741	1,165,000	1,667,858	7,227,971
2021 Proposed Budget	ISDC	SPIA (High scenario)	Evaluations	Shared Secretariat	Total
Personnel	0	0	0	1,651,057	1,651,057
Consultants	350,516	977,205	900,000	0	2,227,721
Honorarium fees	253,608	102,600	0	0	356,208
Professional fees	0	0	0	0	0
Travel	110,334	65,000	155,000	21,218	351,552
Office Expenses	0	120,000	20,000	10,609	150,609
Sub-grants	53,045	2,163,000	0	0	2,216,045
Publications	0	0	15,000	13,792	28,792
Meetings & Workshops	165,500	135,000	75,000	21,218	396,718
	933,003	3,562,805	1,165,000	1,717,894	7,378,702
3 year totals	2,756,424	9,122,363	3,310,000	5,005,033	20,193,820