Framing: CAS Evaluation Function

Mandate: ensure that the evidence from System Council-commissioned **independent evaluations** is informing decision-making across the System at strategic opportunities.

CAS TORs (2018): Supporting implementation of the CGIAR System’s multi-year evaluation plan in a manner that meets the CGIAR System’s need for **rigorous, high-quality independent evaluations**.

- CAS Secretariat 2021 Workplan
- CAS Secretariat TORs (pp 5-6)
- CGIAR Management Response to MOPAN 2019 (pp 6-7)
- 2012 CGIAR Policy for Independent External Evaluation
Incorporate novel approaches for structuring evaluations, quality assurance, managing knowledge, and communicating results for uptake.

CAS Secretariat employ a range of knowledge management, data availability, and planning practices to enhance uptake.

Promote demand for and use of evaluations; and to the extent its mandate and resources allow, CAS Secretariat will assume an active role building an evaluation culture in One CGIAR.

Managing risks related to independence of function: expert roster, peer review and reference group.

...the vital self-assessment question for CGIAR is “how do recommendations from independent evaluations, when used, improve the overall CGIAR offering?”
Framing: One CGIAR

Efficient practice →
Triangulation calling upon
PRM System data

External evaluative evidence
→
to decision-making →
Stagegating procedures

Evaluability of pooled funded
projects → Common Results
Framework

Theory-based evaluation

Context-specific evaluation

Nested TOCs

CGIAR impact Areas

Action Areas

Initiative

Work Packages

Systems Transformation (ST) Initiatives

Regionally Integrated Initiatives

Resilient Agri-Food (RAFS) Initiatives

Genetic Innovation (GI) Initiatives

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Policy Consultation & Development Timeline

Mar-Oct
SIMEC, CGIAR M&E practitioners, comparators; EMT, Programs Unit and Science Group Directors

TODAY
CGIAR System Board

Nov.
Formal Draft sharing to SIMEC and SC Secretariat

Mid-Nov.
Address SIMEC feedback

End Nov.
Submit to the System Council for decision

2022 forward
Developing, revising guidance & strengthen capacity
2012 policy is being substantially revised and shortened

One CGIAR Framework + Policy style with accompanying Standards and Guidelines

Scheduled to issue Framework + Policy for System Council approval December 2021
Content Changes: One CGIAR Eval Policy

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Criteria</th>
<th>Scope</th>
<th>Defined Target Audiences</th>
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</thead>
<tbody>
<tr>
<td>Consolidate under <strong>Evaluation Framework</strong>, align with One CGIAR systems and structures</td>
<td>Relevance, efficiency, <strong>quality of science</strong>, effectiveness, <strong>coherence</strong> and sustainability, impact</td>
<td>CGIAR-wide policy; this includes but not limited to, pooled funding initiatives, impact platforms, operational structure/themes; <strong>project-commissioned + SC-commissioned evaluations</strong></td>
<td><strong>System Council; System Board; Other funding partners &amp; investors; CGIAR management at multiple levels; evaluands; partners and reps of end-users</strong></td>
</tr>
<tr>
<td><strong>Theory of Change</strong></td>
<td>Quality Assurance and Support</td>
<td><strong>Dissemination</strong></td>
<td><strong>Use of Findings</strong></td>
</tr>
<tr>
<td><strong>ToC</strong> for One CGIAR’s Evaluation practice</td>
<td>CAS Evaluation function, reference group, external peer-reviewers, Other?</td>
<td><strong>Enhance learning</strong></td>
<td>Incorporate lessons in strategic planning, decision-making and assurance processes; bolster CGIAR accountability to stakeholders</td>
</tr>
<tr>
<td><strong>Dissemination</strong></td>
<td><strong>Use of Findings</strong></td>
<td><strong>New</strong></td>
<td><strong>Revised</strong></td>
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<tr>
<td><strong>Enhance learning</strong></td>
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<tr>
<td>Focus on real-time learning, uptake and use of recommendations for decision-making</td>
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</tbody>
</table>
Multi-Year Plan: Independent Evaluation
Evaluation Multiyear Plan (MYP)

1. External **evaluative activities** CAS commissions for the System

2. Issuing and supporting **standards and guidance** to underpin the framework

3. Engaging with CGIAR system

4. Knowledge management and communicating about evaluation
Exploit existing monitoring data and impact evidence (PRMF, Impact Studies)

Establish and facilitate common standards with a cross-CGIAR policy

Implement real-time evaluative engagements (23) and sampling strategies (24)

Build up joint assurance activities (with Internal Audit)

Protect investment through a common assurance system (build on IA System)

Test evaluability and data usability from the start

Include Efficiency criterion in learning-oriented thematic engagements (M&G)

Crowd-in capacity through partnerships, reference group and peer review

Demand and Utilization-focused – active, periodic consultations with multi-stakeholder governance, management and implementer user groups
# External Evaluative Activities

<table>
<thead>
<tr>
<th>2022</th>
<th>2023</th>
<th>2024</th>
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</thead>
<tbody>
<tr>
<td><strong>1. External process &amp; performance evaluative activities</strong></td>
<td></td>
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<tr>
<td>a. Scope joint engagements (with Internal Audit)</td>
<td>a. Evaluability and scoping studies towards Regional Initiative evaluations</td>
<td>a. Initiative process evaluations, strategically sampled</td>
</tr>
<tr>
<td>b. Perform evaluability and scoping studies towards Gender equality youth and social inclusion platform/GDI evaluation</td>
<td>b. Evaluation of the gender (equality youth and social inclusion) &amp; GDI practice (n.b., joint activity with Internal Audit)</td>
<td>b. Quality Assurance of project-commissioned evaluations</td>
</tr>
<tr>
<td>c. Study of PRMS: fit-for-purpose for independent evaluation</td>
<td>c. Evaluation of conservation &amp; use of genetic resources Initiative</td>
<td>c. Learning-oriented external M&amp;G assessment (last external mgt and governance review was 2014)</td>
</tr>
<tr>
<td>d. Validation exercise on reported outcomes (i.e., related to SDGs) to support CGIAR’s baselining exercise</td>
<td>d. Selected testing of real-time evaluative engagements TBD</td>
<td></td>
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## Evaluation Guidance

### 2. Evaluation guidance

<table>
<thead>
<tr>
<th>Year</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>2022</td>
<td><strong>Sensitization, engagement and capacity strengthening (CS) around revised CGIAR Evaluation Framework and Policy</strong></td>
</tr>
<tr>
<td></td>
<td>a. CS on Evaluation (MEL Practitioners) of the new initiatives: evaluability assessment, GDI, etc.</td>
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<td></td>
<td>b. Development of guidance notes: evaluating QoS, evaluability assess’t</td>
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<tr>
<td></td>
<td>c. Refresh pre-existing Guidance Notes</td>
</tr>
<tr>
<td></td>
<td>d. Nested theory of change for Evaluation practice (multilevel)</td>
</tr>
<tr>
<td>2023</td>
<td>a. Evaluative-evidence gap mapping: towards revision of the new cycle multi-year evaluation plan</td>
</tr>
<tr>
<td>2024</td>
<td>b. Development of guidance notes on MEL of GDI in the context of AR4D</td>
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</tbody>
</table>
### 3. Engagement with CGIAR system

- **Engagement with One CGIAR:** bringing independent evaluative evidence to CGIAR governance (Council & Board) and management entities of One CGIAR
- **Engagement with CGIAR MEL practitioners:** annual events, presentations of eval results, learning events

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<thead>
<tr>
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<th>2024</th>
</tr>
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<tbody>
<tr>
<td><strong>a.</strong> Align on Joint Assurance system (i.e., with Risk Management, Audit business units)</td>
<td><strong>a.</strong> Engage on Joint Assurance (ongoing)</td>
<td><strong>a.</strong> Furnishing evaluative evidence to support portfolio management/ CGIAR decision processes</td>
</tr>
<tr>
<td><strong>b.</strong> Coordinate with PCPM Unit(s) on response to Eval recommendations</td>
<td><strong>b.</strong> Furnish early-stage evaluative evidence to support portfolio management</td>
<td><strong>b.</strong> Recommendations to support next phase initiative design</td>
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## 4. Knowledge Management (KM) and Eval Communications

<table>
<thead>
<tr>
<th>2022</th>
<th>2023</th>
<th>2024</th>
</tr>
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<tbody>
<tr>
<td>✓ <strong>Engagement with EvalForward</strong> community of practice: joint publications, events, etc., directed towards NARS</td>
<td>✓ <strong>Tailored comms content</strong> on eval engagements for CGIAR target audiences</td>
<td></td>
</tr>
<tr>
<td>a. Enhancement of CAS KM and learning system for uptake of evaluative evidence and contextualized evaluation</td>
<td>a. Adaptive maintenance and management of the KM and learning system towards uptake of evaluation results</td>
<td></td>
</tr>
<tr>
<td>b. Positioning CGIAR’s know-how on evaluating QoS in the evaluation industry: Better Evaluation, Global Eval Initiative, professional associations</td>
<td>b. Liaise and tailor evaluative knowledge and products for ISDC Science Symposium</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. Internal and external facing KM and Eval Comms opportunities TBD</td>
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</tr>
</tbody>
</table>
Thank You

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a.smith@cgiar.org

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## SPIA

- **Goal**
  - Credible evidence of causal impacts generated by innovations to which CG has contributed

- **Advisory Mandate**
  - Advise on methods, metrics and role of rigorous impact assessment

### Impact Assessment practice

- Rigorously testing underlying ToC assumptions to provide evidence for best strategies & scaling models
- + document of CGIAR reach combined with long-term large-scale impacts of big wins along ToC
- Research designed from the start of the innovation process, and use credible counterfactuals

### Process Evaluation practice

- ToC used to evaluate accuracy/validation and actual TOC use towards measuring results
- Theory-based approaches to evaluate achievements of interventions: triangulation and mixed methods

## CAS Evaluation

- **Goal**
  - Commission independent process evaluations of pooled funding programs, or CGIAR performance on cross-cutting topics

- **Advisory Mandate**
  - Advice on [and application of] methods aligned to the CGIAR Evaluation Policy, guided by the OECD/DAC evaluation criteria

*full SPIA and CAS Evaluation mandates elaborated elsewhere*