CGIAR Evaluation Policy implementation and IAES – ISDC – SPIA 2023 plan overview

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In February 2022, the CGIAR System Board (23rd Session) and System Council (15th Meeting) approved the CGIAR Evaluation Framework and Evaluation Policy. The two documents apply to CGIAR as an operating entity: CGIAR System Organization/ all the organizational business units under One CGIAR, and all CGIAR Centers.
Three-Line Assurance Model

**GOVERNING BODY**
Accountability to stakeholders for organizational oversight

- Governing body roles: integrity, leadership and transparency
- (e.g., structures/processes for effective governance; alignment of organizational objectives/activities with stakeholder interests; delegation of responsibility/provision of resources to management to achieve objectives, while ensuring legal, regulatory and ethical oversight; oversight of Internal Audit)

**MANAGEMENT**
Actions (including managing risk) to achieve objectives

- First line roles
  - Setting organizational values and culture
  - Defining organizational structure and roles
  - Delegating responsibilities to empower action
  - Delivery on strategy and operational plans
  - Managing risk

- Second line roles
  - Ongoing control, monitoring and reporting on compliance with rules and project requirements
  - Expertise, support, monitoring and challenge functions
  - Ethics and business conduct advice and awareness raising

**INDEPENDENT ASSURANCE**

- Third line roles
  - **INTERNAL AUDIT** provides objective assurance and advice on all matters related to the achievement of objectives, including adequacy and effectiveness of governance and risk management, to promote and facilitate continuous improvement.
  - **EVALUATION** conducted in line with standards and principles, guided by CGIAR evaluation criteria, promotes organizational accountability and learning, for effective and efficient research planning, decision-making, and management across CGIAR.
  - **INTERNAL INVESTIGATIONS** are conducted when required according to applicable investigation standards

**EXTERNAL ASSURANCE PROVIDERS** (e.g., External Audit)

- Accountability, reporting
- Delegation, direction, resources, oversight
- Alignment, communication, coordination, collaboration and continuous improvement

Figure 3: CGIAR Evaluation Policy 2022
## KPI 8: Evidence-based planning

<table>
<thead>
<tr>
<th>Element</th>
<th>Micro-indicator</th>
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<tbody>
<tr>
<td>8.1 Evaluation function</td>
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<td>8.2 Evaluation coverage</td>
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<tr>
<td>8.3 Evaluation quality</td>
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<td>8.4 Evidence-based design</td>
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<td>8.5 Poor performance tracked</td>
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<td>8.6 Follow-up systems</td>
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<td>8.7 Uptake of lessons</td>
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</tbody>
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- **Highly satisfactory**
- **Satisfactory**
- **Highly unsatisfactory**
- **Unsatisfactory**
For approval: 2023 plan

Pre-read: 2023 Annual Workplan Budget for System Council Reconfirmation

Reference: approved 3-Y plan
Submitted at SC15 and covering 3-year period of ISDC, SPIA, CAS/Evaluation and underpinning operational support
Commissioned studies and papers – foresight/megatrends
   special journal issue -- innovation

Science for Development Forum –
   build from TropAg symposium tandem with SC meeting Nov 2023

ISDC advisory products –
   make advice more accessible

Initiative development and execution
   as requested by System Council
   reviews of, e.g., Platform proposals (TBD)

ISDC meetings & System Council Consultations –
   geared towards developing advice pertinent to One CGIAR

One CGIAR support –
   advice provided for arising needs
Support to CGIAR initiatives
- Light touch follow up to facilitate matchmaking with academic researchers to design rigorous impact assessments

Completion of SPIA studies portfolio
- of accountability, learning & methods development studies and continue facilitating partnerships with external IA researchers

Independent evidence of reach
- of CGIAR innovations and policy influence in Uganda and update existing evidence for Ethiopia

Strengthen impact assessment in CGIAR
- Activities/events to support early career IA researchers and to facilitate the use of IA rigorous evidence

Dissemination of independent evidence
- rigorous evidence of CGIAR impacts from current SPIA portfolio to speak to One CGIAR research agenda

Guidance on new methods and metrics
- to improve the documentation of reach and impacts of CGIAR innovations and policy engagement at national level
IAES/Evaluation

1. Ongoing from 2022
   - Complete monitoring system study
   - GENDER Platform evaluation + GDI Evaluation guideline
   - Quality Assurance to 2022 outcome study

Process and Performance Evaluation
   - Evaluate Genebank Platform 2017–21
   - Prepare for 2024: Evaluability Assessments to narrow to ten 2024 initiative evaluations

Thematic evaluative activity
   - Support targeted learning through real-time evaluative engagement on:
     • Discrete learning questions related to management and governance topics (e.g., managing change)
     • Evaluative engagement on GDI (n.b., joint activity with Internal Audit)

2. Standards, guidance & capacities
   - Guidelines to complete and roll out to support CGIAR Evaluation policy and framework:
     - GDI | Management Engagement and Response Evaluability Assessment | QoR4D applied to process and performance evaluation

3. Engaging with One CGIAR
   - Deliver independent evaluative evidence in relevant fora
   - Engage with CGIAR MEL practitioners
   - Furnish early-stage evaluative evidence to support portfolio management

4. Knowledge management & ‘translating’ evaluation
   - Contribute to management response system/s
   - Tailor content for CGIAR needs and uptake
Operational support and eval implementation
- Staffing to support all three workstreams
- 1 additional time-bound FTE (junior comms/knowledge management)

Overarching communications & KM
- Website, socials, branding
- Evaluative evidence - 2023/24

Coordinate selected, joint advice and evidence
- Support amplification and coherence in messaging crossing multiple workstreams

Planning, monitoring, reporting
- Accountability and stewardship
## Multi-year budget
(in 000 dollars)

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<thead>
<tr>
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<th>2023</th>
<th>2024</th>
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<td>ISDC</td>
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<td>IAES/Eval</td>
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<td>IAES</td>
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<tr>
<td><strong>Total</strong></td>
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