



# INCEPTION REPORT

## Independent CRP-Commissioned External Evaluation of the CGIAR Research Program on Agriculture for Nutrition and Health (A4NH)

*Photo credits: CIAT International Centre for Tropical Agriculture*

**February 2015**

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RESEARCH  
PROGRAM ON  
Agriculture for  
Nutrition  
and Health

Led by IFPRI

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**Correct citation:** *Independent CRP-Commissioned External Evaluation of the CGIAR Research Program on Agriculture for Nutrition and Health (A4NH)*, International Food Policy Research Institute of Food Policy Research, Washington, DC, USA

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### PREFACE AND ACKNOWLEDGEMENTS

This inception report has been prepared principally by Julia Compton (Team Leader) with significant inputs from the other evaluation core team members, Diana McLean (especially on Science Quality) and Ben Emmens (Human Resources, Capacity Development and Partnerships). The evaluation analyst, Mysbah Balagamwala, helped with report preparation and carried out the financial analysis in Section 2, as well as many other analytical and support tasks.

The Evaluation Manager is Nancy Johnson, Senior Research Fellow of IFPRI responsible for Monitoring and Evaluation of A4NH. She has been responsible for developing the ToR, contracting the team and expert panel, putting the team in touch with numerous stakeholders and data sources, making comments on initial drafts – and for ensuring the independence of this evaluation. We are very grateful for her support and astute inputs.

Many people have helped us get this far. We apologise if your name has been accidentally left off the list which follows.

We would like to thank all the people contacted to date (listed in Annex D) for generously giving their time and sharing information at this early stage of the evaluation. Special thanks are due to Amanda Wyatt, Tigist Defabachew and Nyillan Fye of the A4NH Program Management Unit. The team leader would also like to thank the following people who suggested names for the evaluation team and expert panel: Brian Wilcox, Iain McGillivray, Nicole Lefore - and also to Carlos Sere and Marie Ruel for their efforts to find contacts for hard-to-locate people.

We also thank the following individuals who have commented on/made text contributions to sections of this report: Wayne Powell (science quality annex); Agnes Quisumbing and Amanda Wyatt of the gender and nutrition group (gender and equity annex); Rachel Bedouin (quality assurance); Mark Holderness (stakeholder consultation through GFAR); Tigist Defabachew (sources and uses of funds for A4NH).

We are very grateful to IFPRI's IT team, and especially Nancy Walczak, for their invaluable help, especially with running webinars and administering e-surveys.

The independent Quality Assurors contracted by IEA, Alison King and Urs Zollinger, contributed to the ToR and list of the evaluation questions, and have also made helpful comments and suggestions on the draft. The final inception report has also benefited from thoughtful comments by members of the [Evaluation Oversight Group](#) and the [Independent Advisory Committee](#) of A4NH.

A table of comments on the first draft of this report and responses from the evaluation team is available on request from the evaluation manager, [Nancy Johnson](#).

## ABBREVIATIONS AND ACRONYMS

|                   |   |
|-------------------|---|
| <b>A4NH</b>       | CRP on Agriculture for Nutrition and Health   |
| <b>ACIAR</b>      | Australian Center for International Agricultural Research   |
| <b>AIHD</b>       | African Institute for Health and Development  |
| <b>AU-BAR</b>     | African Union - InterAfrican Bureau for Animal Resources  |
| <b>Bioversity</b> | Bioversity International  |
| <b>BMGF</b>       | Bill and Melinda Gates Foundation   |
| <b>CCAFS</b>      | Climate Change, Agriculture and Food Security   |
| <b>CGIAR</b>      | With the reforms, “CGIAR” has now been adopted as a name. It was originally the abbreviation of the Consultative Group on International Agricultural Research |
| <b>CIAT</b>       | Centro Internacional de Agricultura Tropical (International Center for Tropical Agriculture)  |
| <b>CIDA</b>       | Canadian International Development Agency   |
| <b>CIMMYT</b>     | Centro Internacional de Mejoramiento de Maíz y Trigo (International Maize and Wheat Improvement Center)   |
| <b>CIP</b>        | Centro Internacional de la Papa (International Potato Center)   |
| <b>COI</b>        | Conflict Of Interest  |
| <b>CRP</b>        | CGIAR Research Programs   |
| <b>CRP</b>        | CGIAR Research Program  |
| <b>CSSR</b>       | Collective for Social Science Research  |
| <b>DFID</b>       | Department for International Development (UK)   |
| <b>EC</b>         | European Commission   |
| <b>EOG</b>        | The Evaluation Oversight Group  |
| <b>EQ</b>         | Evaluation Question   |
| <b>FAO</b>        | Food and Agriculture Organisation   |
| <b>GAIN</b>       | Global Alliance for Improved Nutrition  |
| <b>GFAR</b>       | Global Forum on Agricultural Research   |
| <b>IAC</b>        | Independent Advisory Committee  |
| <b>ICRISAT</b>    | International Crops Research Institute for the Semi-Arid Tropics  |
| <b>IDO</b>        | Intermediate Development Outcomes   |
| <b>IDRC</b>       | International Development Research Center   |
| <b>IEA</b>        | Independent Evaluation Arrangement  |
| <b>IFAD</b>       | International Fund for Agricultural Development   |

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|                           |   |
|---------------------------|---|
| <b>IFPRI</b>              | International Food Policy Research Institute                        |
| <b>IITA</b>               | International Institute of Tropical Agriculture                     |
| <b>ILRI</b>               | International Livestock Research Institute                          |
| <b>IRRI</b>               | International Rice Research Institute                               |
| <b>ISPC</b>               | Independent Science and Partnership Council of the CGIAR            |
| <b>KALRO</b>              | Kenya Agriculture and Livestock Research Organisation               |
| <b>LCIRAH</b>             | Leverhulme Centre for Integrated Research on Agriculture and Health |
| <b>PIM</b>                | CRP on Policies, Institutions and Markets                           |
| <b>PMC</b>                | Planning and Management Committee                                   |
| <b>PMU</b>                | Program Management Unit   |
| <b>QAA</b>                | Quality Assurance Advisers  |
| <b>SLO</b>                | System-Level Outcomes   |
| <b>SRF</b>                | Strategy and Results Framework                                      |
| <b>SUN</b>                | Scaling Up Nutrition  |
| <b>ToR</b>                | Terms of Reference  |
| <b>USAID</b>              | United States Agency for International Development                  |
| <b>W1</b>                 | Window 1 funding  |
| <b>W2</b>                 | Window 2 funding  |
| <b>W3</b>                 | Window 3 funding  |
| <b>WHO</b>                | World Health Organisation   |
| <b>World Agroforestry</b> | World Agroforestry Centre (sometimes still abbreviated as ICRAF)    |
| <b>WorldFish</b>          | WorldFish (sometimes still abbreviated as ICLARM)                   |

## I. EXECUTIVE SUMMARY

- S1. The CGIAR Research Program (CRP) on Agriculture for Nutrition and Health (A4NH) is led by the International Food Policy Research Institute (IFPRI), and includes 11 other CGIAR Centers and numerous other research and development partners. The main objective of A4NH is to 'work to accelerate progress in improving the nutrition and health of poor people by exploiting and enhancing the synergies between agriculture, nutrition, and health'. A4NH has a budget of around \$60-80 million dollars per year and four main research components or 'Flagships': Biofortification, Integrated Programs and Policies; Value Chains for Enhanced Nutrition, and Agriculture-Associated Diseases.
- S2. The overarching purpose of this evaluation is to assess the design and implementation of the A4NH CRP, and to make recommendations in order to enhance the contribution that A4NH is likely to make towards reaching the CGIAR objectives and System-Level Outcomes (SLOs), especially the SLO on improving nutrition and health. The evaluation aims to contribute to both accountability and learning. Specifically, it will feed into decisions on the next phase of CRPs, to start in 2017. The scope of the evaluation includes all A4NH activities, structures, and institutions, including activities that started earlier and have continued under A4NH.
- S3. This evaluation of A4NH has been commissioned by the CRP itself. There are several safeguards in place to ensure evaluation independence and quality, including: a fully-independent evaluation team; the Evaluation Oversight Group, which includes independent members; and quality assurance at key stages provided by the CGIAR Independent Evaluation Arrangement. The independent evaluation team keep confidential information (e.g. from interviews and surveys) in a secure location.
- S4. The evaluation aims to answer four main evaluation questions (EQs):
- EQ1: Is A4NH on course to achieve its outputs, outcomes and impacts? Why or why not?
  - EQ2: Within the CGIAR, has A4NH added value in comparison to pre-reform ways of doing business? Any disadvantages?
  - EQ3: Does A4NH have the right resources, systems and approaches to partnerships?
  - EQ4: Is the scope and focus of A4NH relevant and appropriate?
- S5. This inception report sets out the proposals of the independent evaluation team regarding the purpose, objectives and scope of the evaluation, its target audiences and use; the evaluation questions and approach; and the timeline and workplan. This final draft incorporates stakeholder comments on the first draft, including the Evaluation Oversight Group.
- S6. The evaluation will use a variety of methods to answer the evaluation questions, including for example: semi-structured interviews of A4NH researchers and stakeholders; country visits; review of a sample of A4NH projects, focus group discussions; self-evaluation exercises; short e-surveys ('minisurveys'); and observation of key A4NH meetings. The evaluation team consists of three independent evaluators and an Expert Panel looking specifically at the scope and focus of the CRP, all supported by a research analyst attached to the team by A4NH.

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- S7. Key dates and activities in the evaluation include:
- Early March 2015: Visit to **IFPRI** (Washington DC); Results from first staff mini-survey; First meeting of Expert Panel; Desk review of research projects
  - Late March: Visit to **Bangladesh** (Dhaka) and **India** (Delhi and Hyderabad); A4NH Center Focal Point and partner meetings in **Dhaka**
  - Early April: A4NH partner minisurvey; Skype interviews
  - Late April: Country visit to **Kenya**; Second meeting of Expert Panel
  - May: Expert panel draft report; second staff e-survey ; Skype interviews; Data analysis and additional data collection as required
  - Early June: Presentation of preliminary findings - including to A4NH Management in **London**
  - June 30 2015: Draft main report deadline
  - **July: Draft report and recommendations circulated for comments**
  - July 31 2015: Final report deadline
- S8. The evaluation website <http://www.a4nh.cgiar.org/2015/01/26/the-external-evaluation-of-a4nh-is-underway/> , will be updated regularly with information on evaluation activities and draft findings.

## II. INTRODUCTION

1. We have tried to keep this inception report as short as possible while providing the minimum information necessary to explain the main issues and comply with evaluation standards. To this end, we have put details in annexes and made frequent use of references and hyperlinks for readers who want more details, especially in the background sections.

### 1.1. Background and rationale for the Evaluation

#### Background

2. The CGIAR is a global agricultural research partnership that has evolved from a group of four research Centers in 1971 to 15 today, with a presence in many countries.
3. The CGIAR started a major reform process in 2009, culminating in the establishment of new structures: a central [CGIAR Fund](#), a [CGIAR Consortium](#), and a [Global Conference on Agricultural Research for Development](#).
4. A centerpiece of the reform is the CGIAR Strategy and Results Framework (SRF). The SRF defines CGIAR System-Level Outcomes or SLOs as high-level goals, and Intermediate Development Outcomes (IDOs) which are intended to measure contributions towards the SLOs. The first SRF (CGIAR Consortium Office, 2011) contained four SLOs, but these are likely to be modified, as the SRF is currently being revised. The original four SLOs were:
  - Reducing rural poverty (SLO 1)
  - Improving food security (SLO2)
  - Improving nutrition and health (SLO3)

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- Sustainable management of natural resources (SLO4)
5. Another major innovation of the CGIAR reform was the introduction of cross - [CGIAR Research Programs](#) (CRPs), which now cover most of the CGIAR research portfolio. There are currently 15 CRPs, each led by a single CGIAR Center. CRPs typically contain a mixture of activities, some which represent continuations of previous work ('legacy activities') and others which are new. Funds for CRP activities can come from one or more of the following sources:
    - the CGIAR Fund, through unrestricted funding managed by the Fund (also known as Window 1 or W1), or funding directed by donors through the Fund to a specific CRP (W2) or Center (W3);
    - bilateral donor projects, with defined objectives and timeframes;
    - other contributions, for example cash or in-kind contributions from partner countries to Centers
  6. The CGIAR Research Program on Agriculture for Nutrition and Health (A4NH) is led by IFPRI, and includes 11 other CGIAR Centers and numerous other research and development partners (IFPRI, 2011). Section II of this report summarizes the objectives, scope and structure of the CRP. A4NH was initially funded for a period of three years (2012-14), but in common with other CRPs, it has been extended until the end of 2016, based on an extension proposal (A4NH, 2014).

### Rationale

7. The main rationale for this evaluation is to provide an independent assessment of the A4NH CRP which will feed into decisions on the next phase of CRPs, to start in 2017. The planning process for the next phase is already underway, and pre-proposals are due to be submitted by all CRPs in August 2015 (CGIAR Consortium Office, 2014b) – an important consideration in our timing.
8. The original plan was for the CGIAR's Independent Evaluation Arrangement (IEA) to manage all CRP evaluations, but due to a lack of IEA resources to complete all 15 by 2015, five CRPs have been asked to commission their own independent evaluations. This evaluation of A4NH falls into the latter group. The IEA is providing advice and input to the various Evaluation Managers to ensure that this evaluation, along with other CRP-commissioned evaluations not covered by IEA, meets CGIAR evaluation standards of quality and independence (IEA, 2014a).
9. The preparatory phase for the evaluation started in mid-2014. The Program Management Committee of the CRP (PMC) met in September 2014 to agree on the main questions to be addressed. Following consultation with a range of stakeholders and IEA quality assurance, the evaluation questions were refined and incorporated in the Terms of Reference (ToR) for the evaluation<sup>1</sup>, which were finalized on 20 November 2014.

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<sup>1</sup> The Evaluation ToR are available at <http://www.a4nh.cgiar.org/2015/01/26/the-external-evaluation-of-a4nh-is-underway/>

## 1.2. Purpose and content of this report

10. The main purpose of the inception phase is for the independent evaluation team to develop and propose an approach to the evaluation, and then to reach agreement on the approach with the commissioners of the evaluation, subject to quality assurance, and incorporating the views of stakeholders, in particular the Evaluation Oversight Group (see paragraph 71 below).
11. For this purpose, the inception report sets out the understanding and proposals of the independent evaluation team regarding:
  - The purpose, objectives and scope of the evaluation, its target audiences and use (Section IV)
  - The evaluation questions (EQs) to be answered, and the approach to answering each evaluation question and sub-question, in particular the basis of evaluative judgment and the sources of evidence (Section 5.2 and Annex A)
  - Sampling strategies to be used (Annex E)

### Timeline and work plan (

- Table 7 and Annex C)
- Evaluating specific areas such as quality of science, gender and equity, human resources, capacity building and partnerships (Annexes F, G, H and I)
- Consultation on and dissemination of the evaluation findings, lessons and recommendations (Section 5.4)

## III. INTRODUCTION TO THE CRP AGRICULTURE NUTRITION AND HEALTH (A4NH)

### 2.1. Structure, aims and activities

12. Like other CRPs, A4NH was conceived as a 10 year research program, with a first phase of three years, starting in 2012. Phase 1 has now been extended for two years, to 2016 (paragraph 6).
13. In its Proposal (IFPRI, 2011) p.1), A4NH defines itself as follows:

“CRP4 is a research program that will **work to accelerate progress in improving the nutrition and health of poor people** by exploiting and enhancing the synergies between agriculture, nutrition, and health through four key research components [now called Flagships]....”
14. The four research ‘Flagships’ are as follows:
  - **Value Chains for Enhanced Nutrition** (Flagship 1, leader Alan de Brauw, IFPRI) focuses on opportunities to improve nutrition along value chains to increase the poor’s access to and demand for nutritious foods

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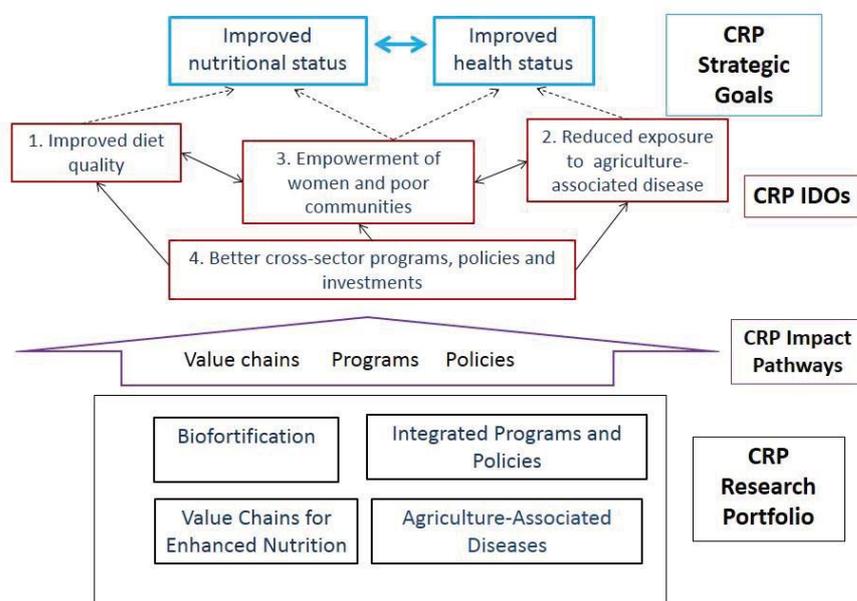
- **Biofortification** (Flagship 2, leader Howarth Bouis, IFPRI), started life in 2004 as [HarvestPlus](#), one of the pioneering cross-CGIAR Challenge Programs, and joined A4NH in 2012. Its aim is to improve the availability, access, and intake of nutrient-rich staple crops<sup>2</sup>.
  - **Agriculture-Associated Diseases** (Flagship 3, leader Delia Grace, ILRI) addresses food safety issues along the value chain, as well as control of zoonotic diseases and the better management of agricultural systems to reduce the risk of human diseases
  - **Integrated Programs and Policies** (Flagship 4, leaders Marie Ruel and Stuart Gillespie, IFPRI) addresses integration among the agriculture, nutrition, and health sectors at both the development program and the policy levels
15. The two **main target groups** for A4NH are defined as follows (the A4NH proposal has been quoted in detail here as it demonstrates the complexity of the impact pathways):
- “.... **poor populations who suffer from food insecurity, low diet quality and related poor micronutrient intake, and undernutrition.** These populations may be served by social protection and development programs—and CRP4 will work on leveraging these programs with better-integrated ANH interventions to achieve improved health and nutrition. For those left behind, CRP4 will focus on reaching them and improving their access to either biofortified staple crops, or new and better targeted integrated ANH programs.
  - .... **populations that are exposed to changing and intensifying agrifood systems** in various regions of the developing world. Research must answer critical questions to assess the rapid changes in dietary patterns and lifestyles of these populations and the associated changes in health risks. Understanding these shifts is critical for designing appropriate policies, technologies, and institutional arrangements that will enhance nutrition and health benefits and mitigate risks for the poor.” (IFPRI, 2011) p.10
16. In 2013, a high-level results framework was developed for A4NH (**Error! Not a valid bookmark self-reference.**) that specified Intermediate Development Outcomes. For some of these outcomes, indicators have been identified and targets set for specific target populations ((A4NH, 2013), A4NH 2014). This process is still ongoing, however at a smaller scale since IDO are being revisited in the CGIAR SRF. Once the revised SRF is finalized, these efforts will resume.
17. The specific research objectives and Flagship responsibilities are shown in Table 1.

---

<sup>2</sup> The name of the Flagship is Biofortification. HarvestPlus, a joint venture between IFPRI and CIAT, is a program in the Flagship. Because it comprises the vast majority of the work, the names HarvestPlus and Biofortification are sometimes used interchangeably.

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**Figure 1: A4NH results framework**



Source: A4NH Extension Proposal, (A4NH, 2014) p. 2

**Table 1: Specific A4NH research objectives and flagship responsibilities**

| Research Objectives |  | Flagships |   |   |   |
|---------------------|--|-----------|---|---|---|
|                     |  | 1         | 2 | 3 | 4 |
| 1                   | Generate knowledge and technologies to improve the nutritional quality and safety of foods along value chains  | X         | X | X |   |
| 2                   | Develop, test, and release a variety of biofortified foods, as well as other nutrient-rich foods that are affordable for the poor and accessible to them   | X         | X |   |   |
| 3                   | Generate knowledge and technologies for the control of zoonotic, food-borne, water-borne, and occupational diseases  |           |   | X |   |
| 4                   | Develop methods and tools to improve the effectiveness, efficiency, and timeliness of surveillance and monitoring systems and to permit meaningful evaluation of complex multisectoral programs and policies   | X         | X | X | X |
| 5                   | Produce evidence of nutritional and health burdens and benefits and of the returns to different interventions in different sectors   | X         | X | X | X |
| 6                   | Assess and document changes in dietary and nutritional patterns and risks of agriculture-associated diseases among poor people in intensifying systems, and identify and test agricultural options to enhance nutrition and health benefits and mitigate risks of agriculture intensification in these populations | X         |   | X |   |

Source: A4NH Proposal (IFPRI, 2011) p.4)

## 2.2. Sources and uses of funds (preliminary findings)

18. Figure 2, Figure 3 and Table 2 show A4NH expenditure in 2012 and 2013, the first two years of A4NH (final figures are not yet available for 2014). It can be seen that:

- Bilateral funding is the most important source of income, accounting for half or more of the budget in these two years<sup>3</sup>. Final figures were not obtainable, but preliminary calculations<sup>4</sup> indicate that the top donors through bilateral channels are (in alphabetical order): ACIAR, BMGF, DFID, the European Commission, IDRC, the Netherlands and USAID.
- Bilateral funding varied considerably by year. Not only does funding depend on the stage of individual bilateral research projects, but some donors such as USAID can only commit funds on an annual basis. (The CGIAR fund has an important potential smoothing function if donors are not able to meet their planned allocations.)
- Biofortification accounted for around half of the overall A4NH budget. The other three Flagships spent in the order of \$10M pa or less (Figure 3). The evaluation will explore whether this level of resourcing is consistent with the scope and ambition of the A4NH research.
- Of the 11 Centers in A4NH, only five had average annual expenditures of over \$2M. In the first two years of A4NH, IFPRI accounted for over half the budget – however over half of this sum is funding to HarvestPlus (based in IFPRI but carried out globally). Other active Centers are IITA, ILRI, CIP and Bioversity<sup>5</sup>. The remaining Centers have very small expenditures. The evaluation will explore how allocations are decided, and also investigate efficiency questions relating to the management and transaction costs of small Center programs.

19. Most of Flagship 2 (Biofortification) contains a single (multilayered) ‘project’- HarvestPlus - with a budget of over \$100M (see Annex E). Leaving aside HarvestPlus, there are currently<sup>6</sup> 87 research “projects” in the A4NH database, of which 12 projects have a budget between \$2M and \$10 M, and the rest are under \$2M total funding.

20. A4NH works in over 50 countries. A preliminary analysis of the project database (again leaving aside H+) indicates that just over a third are single-country projects and nearly half operate in three or more countries. The regions /countries with the largest number of A4NH projects are south Asia (Bangladesh and India), east Africa (Kenya Tanzania and Uganda), southern Africa (Malawi and Zambia)<sup>7</sup> followed by West Africa. This is in accordance with the A4NH proposal for a geographic focus on South Asia and sub Saharan Africa.

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<sup>3</sup> One of the issues to examine in the evaluation is how strategically W1/2 funding has been used to support and leverage bilateral funding.

<sup>4</sup> The source of bilateral funding is not easy to aggregate as currently data is reported to A4NH by Centers, who often only note the name of the funding channel (Harvest Plus or UNEP for example) rather than the underlying funding sources.

<sup>5</sup> A very preliminary analysis of the project database (not to be quoted, as this database is being updated) shows a slightly more even spread of budgets with Harvest Plus (47%), Other IFPRI (20%), IITA (10%), ILRI (\$9%), CIP (6%) and Bioversity (6%) – this needs to be confirmed but may reflect higher planned expenditure in 2014 and 2015.

<sup>6</sup> Latest extract as of 27 February 2015.

<sup>7</sup> This data needs to be treated with caution: The number of projects does not necessarily reflect the size of each project in budgetary term or the number of research activities.

Figure 2: A4NH expenditure in 2012 and 2013 by main funding sources and themes

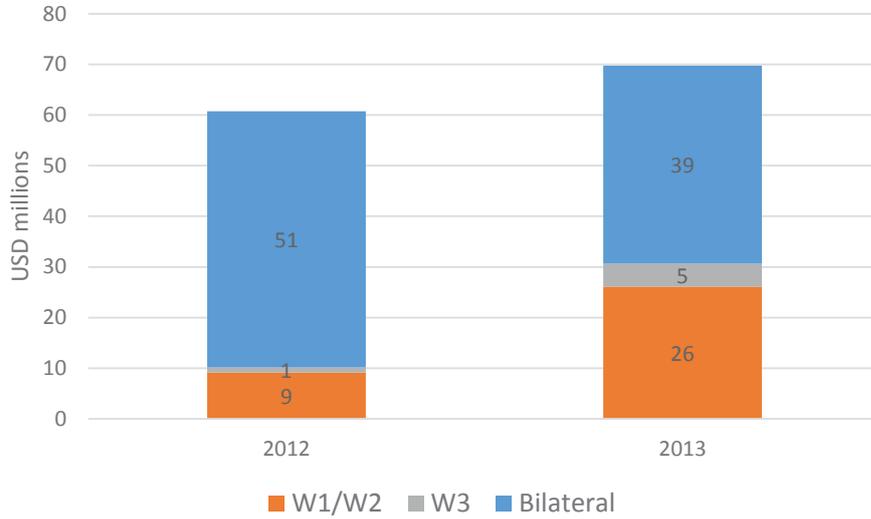


Figure 3: A4NH expenditure in 2012 and 2013 by Flagship

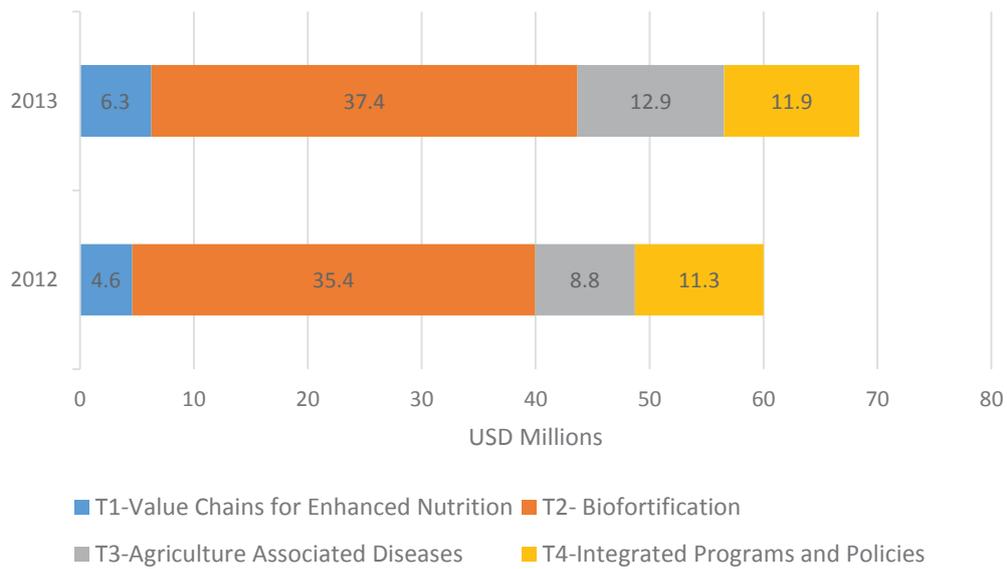


Table 2: A4NH Expenditure by Center, 2012 and 2013

| Center   | Expenditure US\$ |             | Percentage of total<br>(average of both years) |
|--|------------------|-------------|--|
|  | 2012             | 2013        |  |
| Harvest Plus   | 31.0             | 17.6        | 37%  |
| IFPRI (excluding Harvest Plus and A4NH management costs) | 12.0             | 12.6        | 19%  |
| IITA   | 4.1              | 8.6         | 10%  |
| CIAT   | 1.8              | 10.5        | 9%   |
| ILRI   | 5.0              | 6.9         | 9%   |
| Bioversity   | 2.7              | 2.6         | 4%   |
| CIP  | 1.9              | 2.4         | 3%   |
| ICRISAT  | 1.0              | 2.3         | 3%   |
| CIMMYT   | -                | 2.8         | 2%   |
| IRRI   | -                | 1.2         | 1%   |
| ICRAF  | 0.5              | 0.7         | 1%   |
| World Fish   | 0.3              | 0.3         | 0.4%   |
| A4NH management /coordination costs                      | 0.9              | 1.7         | 2%   |
| <b>Total A4NH</b>  | <b>60.9</b>      | <b>70.1</b> | <b>100%</b>                                    |

Notes: 2014 data not yet available. Harvest Plus expenditure is Flagship 2 expenditure reported by IFPRI – Harvest Plus itself reported lower A4NH figures for 2012 (when the program had not been fully subsumed into A4NH).

### 2.3. Governance and management

21. As mentioned above, A4NH is led by IFPRI, and includes 11 other CGIAR Centers and numerous other research and development partners (IFPRI, 2011). Like other CRPs, A4NH funding is governed by CGIAR-level agreements<sup>8</sup> that set out roles and responsibilities for the submission, approval, funding and reporting of CRPs.

22. A4NH has the following management and governance structures:

- A [Program Management Unit \(PMU\)](#) located in IFPRI with seven posts: “CRP Director, Senior Research Fellow, Program Manager, Research Analyst, Communications Specialist, Contact and Grants Administrator, Gender Research Coordinator, and Program Assistant.”
- A [Planning and Management Committee](#) (PMC) with seven CGIAR members and two external members with the responsibility to “oversee the planning, management, implementation, and monitoring and evaluation of A4NH”.
- An [Independent Advisory Committee](#) (IAC) that “provides advice to the IFPRI Board of Trustees and to the A4NH Planning and Management Committee on research program performance, research priorities, and management and partnership issues”.

<sup>8</sup> Specifically, a Program Implementation Agreement between the Consortium and IFPRI as the lead Center

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- Nine [Center Focal Points](#), “selected by their respective Center management and accountable to both the CGIAR Center management and the CGIAR Research Program Director on activities related to this CGIAR Research Program”.
23. There are a number of matrix management and governance issues which arise from the fact that CRPs are not legal entities and therefore legal and financial responsibility ultimately rests with the lead Center and its governing Board. For example:
- The CRP lead Center (IFPRI) is legally accountable to the Consortium Board for the use by A4NH of W1/W2 funds, through a Program Implementation Agreement.
  - Centers (rather than CRPs) recruit and manage staff
  - The CRP’s dedicated external committee (the IAC) has a purely advisory role as legal responsibility rests with the IFPRI Board of Trustees.
24. Previous evaluations – e.g. other CRP evaluations and an IEA-commissioned review of CRP governance and management (Robinson et al., 2014) have pointed out anomalies and inefficiencies in the above arrangements. We will look at their findings and recommendations as well as making our own analysis of governance and management issues.

### 2.4. Planning Phase 2 of the CRPs: implications for this evaluation

25. At the same time as commissioning this evaluation, A4NH is moving ahead with preparing for the next CRP phase, carrying out scoping research and convening consultations and expert meetings which (*inter alia*) will inform proposals on A4NH scope, focus, activities and partners. Some key activities include:
- A [consultation on food safety](#) held in conjunction with the IFPRI resilience conference in May 2014
  - Global consultations on Agriculture and Health research, jointly with the Leverhulme Centre for Integrated Research on Agriculture and Health ([LCIRAH](#)), culminating in an LCIRAH conference in June 2015
  - Meeting with the [CRP on Livestock and Fish](#) and a range of external partners to discuss the potential of Animal Source Foods for Human Nutrition, February 2015
  - Discussions with the Global Panel on Agriculture and Food Systems for Nutrition and the CRP on Climate Change, Agriculture and Food Security (CCAFS) on agriculture, climate change and nutrition, *inter alia* to identify evidence and policy gaps, January 2015.
  - Involvement with the GCARD consultation process (CGIAR Consortium Office, 2014c)
26. The evaluation will take into account this ongoing process of learning and discussion. We will seek to keep abreast of key changes in thinking, with the aim of complementing and triangulating the process with evaluation evidence, rather than running an entirely parallel exercise.

#### IV. EVALUATION PURPOSE, OBJECTIVES AND SCOPE

27. As set out in the Terms of Reference (p. 3), the **overarching purpose of this evaluation** is to assess the design and implementation of the A4NH CRP and to make recommendations in order to enhance the contribution that A4NH is likely to make towards reaching the CGIAR objectives and System-Level Outcomes (SLOs), especially the SLO on improving nutrition and health.
28. The proposed **target audiences**, with the specific objectives for each audience, are:
- Primary users identified in the ToR:
- A4NH management, researchers and partners –to provide information and lessons to inform strategic and operational decisions on the CRP, including the proposal for Phase 2
  - A4NH governance/advisory body IAC (see Section II) –to inform strategy as above
- Other important stakeholders
- The [CGIAR Consortium](#), [Fund Council](#) and A4NH bilateral funders (paragraph 18) - to provide accountability for investments made, and informing the appraisal of the Phase 2 A4NH proposal
  - The [Independent Science and Partnership Council](#) of the CGIAR (ISPC) – to follow up on previous ISPC questions and recommendations, and inform the appraisal of the Phase 2 A4NH proposal
  - [IEA](#) – to inform the System-Wide Evaluation of the CGIAR, tentatively planned for 2017, as well as providing lessons on what worked well/less well in the evaluation approach, to inform future CRP evaluations
  - Broader stakeholder groups, in particular the [Global Forum on Agricultural Research](#) (GFAR) and its partners - to inform stakeholders on A4NH progress and challenges through appropriate communication of the evaluation results. The evaluation also provides a voice for all stakeholder groups, and opportunity to input to the evaluation process (Section 5.4).
29. The evaluation aims to contribute to **both accountability and learning**. These issues are explored further in paragraph 51.
30. The **scope of the evaluation** includes all A4NH activities, structures, and institutions, whether funded bilaterally or through the CGIAR Fund, as described in Section II. We will look at how well A4NH is structured and resourced for its work at the program, Flagship and research project levels (EQ3). Some areas of activity currently under the umbrella of A4NH started in CGIAR Centers long before the CRP began (legacy activities), while others are entirely new. We will summarize available information on progress of both legacy and new activities. We will investigate the influence of A4NH/ the CGIAR reform on both the kinds of activities that are carried out and the way that they are executed: this is the subject of Evaluation Question 2 (EQ2). In so doing, we will be pragmatic about the period of time over which to examine legacy activities – our initial plan is to look back as far as 2009, when the CGIAR reform started.
31. A4NH is a good illustration of the changes in the CGIAR since the reform, but it is also testing the boundaries of that reform. The CRP includes work in areas which are seen by some stakeholders as inappropriate for the “agricultural” CGIAR (although some of the activities are not new to Centers), including health, human nutrition and social protection. Moreover, the world is changing quickly, with urbanization and rapid changes in diets affecting global nutrition and health priorities. In this context, one of the four Evaluation Questions (EQ4) asks whether the scope and focus of A4NH is appropriate.

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32. The evaluation includes both backward-looking (summative) and forward-looking (formative) elements. Two examples:

- For **EQ1** (A4NH progress) we will look backward at what results have been achieved, but will give most attention to what factors have helped favor or constrain delivery, with a view to learning lessons for future research management.
- For **EQ4** (scope and focus of A4NH) we will look at global knowledge gaps and the comparative advantage of the CGIAR and A4NH, in order to inform thinking about Phase 2. We will also look backward at the current configuration of the CRP, but mainly with a view to learning ‘process lessons’ about planning for and management of Phase 2, since the CRP is currently operating on the basis of an extension proposal approved in 2014, and it is unrealistic to expect major restructuring of the CRP in the last year of phase 1.

## V. EVALUATION QUESTIONS AND ISSUES TO ADDRESS

### 4.1. Evaluation Questions

33. The Evaluation Questions (EQs) from the Terms of Reference are set out in Table 3. As described in paragraph 9, the EQs were initially developed by the Program Management Committee (PMC) of A4NH and then refined following consultation and quality assurance.

34. The evaluation team thinks that the EQs as phrased by the PMC will be useful for decision-makers. However, there is some overlap between questions. We have handled this in the evaluation matrix by:

- emphasizing different areas of focus in each question: for example EQ1 has a strong emphasis on the project and portfolio level, while also drawing in wider systems information collected mainly for EQ3, and information on pre-post CRP comparisons collected mainly for EQ2. Conversely, EQ3 focuses on the systems level, although it will include some evidence from EQ1.
- cross-referencing between EQs
- slight rephrasing of some questions: EQ1 (main), EQ2 (main), EQ1.4 and 4.1

**Table 3: Evaluation questions and sub-questions**

| <b>EQ1</b> Is A4NH on course to achieve its planned outputs, outcomes and impacts, including the CGIAR’s SLOs and IDOs? Why or why not?                                  |
|--|
| 1.1 Have different partners in the CRP (Flagships, Centers, etc.) delivered planned outputs and immediate outcomes? Is it likely that expected impacts will be achieved? |
| 1.2 Have there been significant unplanned outputs and/or outcomes?   |
| 1.3 What factors have helped or impeded delivery in different areas? (see also EQs 2 and 3)  |
| 1.4 Is A4NH coherent, i.e., have Flagships and individual research lines contributed strategically to overarching aims and outcomes?                                     |

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|  |
|--|
| <p><b>EQ 2 Within the CGIAR, has A4NH added value in comparison to the pre-reform ways of doing business? Have the advantages of working through a CRP, within the reformed structures and systems, outweighed the disadvantages?</b></p>  |
| <p><b>Sub-questions:</b> What have been the effects of the CRP (as currently operating with CGIAR systems) on key aspects of research planning and implementation - in particular impact orientation, focus on gender and equity, coordination of research, and performance management - across the CGIAR and partners? Has science quality been maintained or improved? What have been the negative effects of the new structure and systems, if any? (See also EQ 4.2.2 about the appropriate balance between working across the CGIAR and other areas of A4NH work)</p> |
| <p><b>Areas to examine:</b></p>  |
| <p>2.1 Impact orientation (includes gender and equity issues)</p>  |
| <p>2.2 Coordination</p>  |
| <p>2.3 Systematic approach to performance management</p>   |
| <p>2.4 Science/ research quality and innovation</p>  |
| <p>2.5 Other positive and negative effects: includes stability of funding, demands on researchers and transaction costs (issues raised by stakeholders in inception phase); other unexpected effects</p>   |
| <p><b>EQ3 Does A4NH have the right resources, systems and approaches to partnerships to deliver on its objectives?</b></p>   |
| <p>3.1 Does the CRP (as currently operating within CGIAR systems) have effective and efficient management and governance systems?</p>  |
| <p>3.2 Is the CRP selecting, developing and managing partnerships appropriately to achieve objectives and sustain benefits?</p>  |
| <p><b>EQ4 Is the scope and focus of A4NH relevant and appropriate?</b></p>   |
| <p>4.1 Internationally, within the changing national and international context and architecture, how has A4NH added value to date? Could its scope and focus be improved to increase its international 'value-added'?</p>  |
| <p>4.2 Is there an appropriate balance within and among the three main areas of work of A4NH - i.e. A4NH's research, working across the CGIAR, and influencing international policy?</p>   |
| <p>4.2.1 A4NH work area 1: International research on agriculture, nutrition and health and the A4NH "niche"</p>  |
| <p>4.2.2 A4NH work area 2: Improving what the rest of the CGIAR does to attain the Nutrition and Health System Level Outcome</p>   |
| <p>4.2.3 A4NH work area 3: Improving national and international policy and practice on agriculture, nutrition and health</p>   |
| <p>4.3 Within the CGIAR, has the exclusive focus of A4NH on the Nutrition and Health System Level Outcome ('SLO2') been appropriate? What are the implications for how A4NH should position itself in future with regard to the new Strategic Results Framework?</p>   |

## 4.2. CGIAR evaluation criteria

35. Table 4 indicates how the evaluation questions in the ToR have been mapped to the CGIAR evaluation criteria. In brief, the six main evaluation criteria are addressed as follows (refer to the Evaluation Matrix, Annex A and other annexes for details):

- a) Relevance - will be examined both from the internal CGIAR perspective (EQ2) and from the external angle in terms of international value added of A4NH and its scope and focus (EQ4)
- b) Effectiveness - is the main topic of EQ1. This evaluation is not carrying out primary fieldwork and cannot independently verify outputs and outcomes. However, we will seek to triangulate reported results for a sample of projects, and explore the reasons for successful or delayed delivery. Unexpected results will also be investigated, as well as their implications (e.g. opportunity costs).
- c) Efficiency – will be investigated via specific issues such as coordination, transaction costs and funding stability (2.2 and 2.4); in systems such as governance and management (3.1); and in partnerships (3.2) Limitations of time and (mainly) data preclude a full cost-efficiency analysis, but we will aim to highlight major sources of inefficiency in the system
- d) Impact – A4NH includes various types of research in a variety of disciplines, including both upstream and downstream research. Some of the research activities may already have measurable impacts at scale (e.g. on diet quality), but many others are contributing to knowledge, technologies, and policies that are only expected to have large-scale impacts after many years. The evaluation will take a pragmatic approach to assessing the likelihood of A4NH impact, drawing on available information about impact pathways/theories of change, research project monitoring, and relevant evaluations and impact evaluations (EQ1.1). We will also examine whether the CRP has led to a greater focus on achieving impact, and what this means in practice (EQ 2.1).
- e) Sustainability – will be examined from several angles, principally by looking at the quality and sustainability of partnerships for impact (EQ2.2) but also covering issues of financial sustainability (EQs 3.2, 2.5). Environmental sustainability is not a *main* focus of this evaluation, but we will highlight any issues that arise<sup>9</sup>.
- f) Science/research quality – will be examined at both strategic and operational levels, by looking at three areas: research processes, resources, and outputs. Details of our proposed approach to assessing science quality are in Annex F. There is a potential tension between traditional means of assessing science quality – often primarily through peer- reviewed publications – and incentivizing the skills, activities and outputs that are needed for delivery of research outcomes. We plan to look at research quality in a broad sense, including data management and publication (Gassner et al., 2013). Another important point is that the science quality of a research project is only as good as the weakest link in the process of research (for example, data collection) – so issues of capacity and capacity development may be important (para. 42).

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<sup>9</sup> For example, environmental issues are included on our checklist for projects. Two other areas where we will look more closely at environmental issues will be: EQ4.2 (c) on the forward looking scope and focus of A4NH, where we expect the expert panel to engage with issues such as environmental implications of food safety, value chains and livestock; and EQ 4.3 – this question asks whether A4NH should only focus on the SLO for nutrition and health, or have a wider focus including other SLOs (such as the environment)

Table 4: Mapping of Evaluation Questions to CGIAR Evaluation Criteria

| Criterion -><br>Evaluation Question  | Relevance         | Efficiency | Effectiveness | Impact     | Sustainability | Quality of Science |
|--|-------------------|------------|---------------|------------|----------------|--------------------|
| EQ1 Is A4NH on course to deliver its planned outputs, outcomes and impacts? Why or why not? Have there been significant unplanned results and why?   |                   |            | 1.1<br>1.3    | 1.2<br>1.4 | 1.3            |                    |
| EQ2 Within the CGIAR, has A4NH added value in comparison to the pre-reform ways of doing business? Have the advantages of working through a CRP, within the reformed structures and systems, outweighed the disadvantages? | 2.1               | 2.5<br>2.2 | 2.2           | 2.1        |                | 2.4                |
| EQ3 Does A4NH have the right resources, systems and approach to partnerships to deliver on its objectives?   |                   | 2.3<br>3.1 | 3.2           |            | 3.2            |                    |
| EQ4 Is the scope and focus of A4NH relevant and appropriate?   | 4.1<br>4.2<br>4.3 |            | 4.1           | 4.1        |                |                    |

Color coding: Primary focus of at least one sub-question, as numbered / Will be addressed under this subquestion

### 4.3. Cross-cutting issues

36. Several cross-cutting issues are key to the achievement of A4NH outcomes<sup>10</sup>. These include **gender; non-gender equity issues**, i.e. economic inequities and discrimination (Haddad, 2015); the selection of A4NH partners and management of **partnerships**; the development of appropriate **capacity** both inside and outside A4NH; and **human resource issues**, in particular aligning the incentives of staff working on A4NH programs with the objectives of the CRP.

<sup>10</sup> The first three cross-cutting issues—gender, partnerships and capacity—are addressed in all IEA managed evaluations

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### Gender and non-gender equity issues

37. Gender is recognized as a key area for A4NH, because the relationships between women and men, boys and girls, and the practical roles that they undertake inside and outside the household (for example as farmers and traders, cooks and caregivers) strongly affect nutritional and health outcomes. Apart from this, 'Gender equality and women's empowerment' is one of the Millennium Development Goals (now Sustainable Development Goals) and the CGIAR is committed to promoting this. The concept of 'gender' is therefore complex, and encompasses two different paradigms/approaches: **gender differences** (sometimes called 'practical gender needs') which addresses current differences in male and female roles and relationships, and '**transformational**' **aspirations** to promote changes in gender equity (sometimes called 'strategic gender needs').
38. Gender has been given considerable attention and dedicated research resources in A4NH, building on existing expertise in IFPRI, which is an acknowledged world leader in gender/agriculture issues. Both A4NH and the CGIAR Consortium have developed gender strategies (A4NH, 2012a; CGIAR Consortium Board, 2011), and significant efforts have been put into mainstreaming gender across A4NH and also in developing gender/nutrition capacity more widely. In contrast, equity issues other than gender are not addressed explicitly in the A4NH proposals (with the exception of the Agriculture Associated Disease cluster) although they may be implicitly addressed in A4NH programs.
39. The evaluation will look at how (a) gender and (b) non-gender equity issues are conceptualized, addressed, and measured in A4NH; the focus, implementation and effects of the two gender strategies; and the levels of resourcing. Specific questions and approaches proposed are outlined in Annex G).

### Partnerships

40. The evaluation will investigate the operationalization of the A4NH partnership strategy (A4NH, 2012b) and the effectiveness and efficiency of partnerships. Specific proposals are outlined in Annex H.
41. One layer of A4NH partnership that is *not* included in the partnership categories listed in the A4NH strategy is with the people (e.g. farmers, traders, consumers and households) that participate directly in A4NH research. As CGIAR research is aimed at producing global public goods, these people are not always intended "beneficiaries" (in the way that similar people might be defined in a development program), and they may in fact not benefit immediately or directly from A4NH research (for example, people in experimental "control" groups). This raises issues of A4NH accountability in such partnerships that will be explored in the evaluation (see paragraph 51)

### Capacity development

42. Delivering practical outcomes from research demands a wide range of skills and experience, for example in developing impact pathways/theories of change, working in partnerships, addressing gender/equity issues, and feeding research into policy debates. Capacity development may therefore be needed in such areas for both CGIAR staff working with A4NH and partners. Capacity development may also form part of the research agenda itself, for example training policy-makers. We have been told that the A4NH approach to capacity strengthening is to use the impact pathways

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and theories of change to prioritize where and how to invest; the evaluation will investigate to what degree this has been operationalized.

43. Annex H outlines our proposed approach to assessing capacity development. We will work closely with the capacity development community of practice of the CGIAR to harmonize approaches and frameworks and learn lessons (Capacity strengthening | Transform Nutrition, n.d.; CGIAR Capacity Development Community of Practice, 2014a, 2014b).

### Human resources

44. The CRPs present a number of potential challenges to CGIAR human resource systems, including:
- Aligning staff incentives to the objectives of CRPs: CRPs are challenging many CGIAR researchers to think and work in new ways - for example to focus more on development outcomes or gender or to work with partners in different ways;
  - Matrix management issues: These arise because CRPs themselves are not legal entities, and recruitment, pay and management of staff is normally the responsibility of CGIAR Centers, which have varying approaches;
  - Transaction costs: staff may be pulled away from core activities by new administrative demands or cross-Center/CRP coordination
45. Annex I presents our approach to assessment of HR issues in A4NH.

## VI. EVALUATION APPROACH AND METHODOLOGY

### 5.1. Approaches

46. The evaluation approach is ‘utilization-focused’ in the terminology of Michael Quinn Patton (Patton and Horton, 2009; Quinn Patton, 2008), that is, it aims to be useful to decision-makers through a joint learning process, and by producing practical recommendations for actions that can build on program successes and address weaknesses. This means taking a structured approach to regular consultation with defined “primary users” of the evaluation (Quinn Patton, 2002) to ensure that the evaluation both starts and stays relevant to decision-makers throughout. The primary users in this evaluation are defined in the evaluation ToR as the PMU, PMC and IAC and there are also important secondary users (paragraph 11). Section 5.4 outlines plans for regular communication with primary users and other stakeholders.
47. Other aspects of this approach are:
- The use of self-evaluation exercises to address some key evaluation questions, with triangulation/verification of the results by the evaluation team
  - Transparency – specifically two aspects: presenting the proposed bases of evaluative judgement for discussion with A4NH (Evaluation Matrix, Annex A); and then sharing findings and impressions when available to get early feedback. (At the same time, strict confidentiality will be maintained about informants’ personal views and other confidential data.)
  - Timing the evaluation to key decisions (paragraph 75)

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- Aiming to build on previous knowledge (for example from other evaluations and ISPC reports) and explore possible solutions, rather than simply “discovering” and reiterating problems of which managers are well aware
48. In examining the impact pathways that underlie the research program and individual activities, we will draw on the ‘contribution analysis’ approach developed by Mayne and already applied in the CGIAR (Mayne, 2008, 2012)
49. Our approach will also reflect lessons from previous evaluations in the CGIAR and other complex international partnerships (World Bank IEG, 2007) and adhere to Paris and Accra principles of aid effectiveness in evaluations (Lithman and Compton, 2007).
50. Approaches to specific evaluation criteria and cross-cutting issues are explained in Sections 4.2 and 4.3 and in more detail in the annexes on Science Quality, Gender and Equity, Partnerships and Capacity Building and Human Resources.
51. The evaluation aims to contribute to both learning and accountability.
- Learning processes will be promoted by consultation and feedback loops (stakeholders and processes are described in Section 5.4)
  - CGIAR research aims to produce Global Public Goods. This implies a number of dimensions of accountability, which will be explored in the evaluation:
    - To funding agencies: for the responsible and cost-effective use of funds to produce agreed outputs and immediate outcomes
    - To partner and host countries: to carry out agreed research that supports or (at minimum) does not conflict with national priorities; and to play an appropriate role in the national research system including (if relevant) supporting the development of national research capacity;
    - To implementing partners (researchers and others) – to follow principles of good partnership (paragraph 40, Annex H)
    - To people participating directly in A4NH research (e.g. farmers, traders, consumers, households): to follow ethical principles – for example informed consent, transparency and good communication, and sharing relevant results.
    - To the international research community and users of research: responsible publication (including negative results) and increasing data transparency (CGIAR Consortium, 2013).

### 5.2. Methods, tools and data sources

52. The methodology for this evaluation is in line with the methodology of CRP evaluations managed by the IEA. We will collect both qualitative and quantitative data, and examine the CRP in its context and at different levels: project, Flagship and whole program.
53. The Evaluation Matrix (Annex A) sets out for each evaluation question and sub-question:
- the proposed basis of evaluative judgement;
  - together with the metrics/ issues to examine for each;
  - the proposed sources of information; and

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- the proposed evaluation product (e.g. “a summary of issues supported by a table with key project metrics”). Please note that this is still work in progress and that the actual product in the evaluation report may change depending on data availability, findings etc., but it is a useful planning tool.

54. The main data sources and sampling are explained in more detail in the annexes. They include:

- a) **Document review**, as indicated in the Evaluation Matrix for each EQ. The team has already reviewed a large number of documents and has been given access to the internal website of A4NH. Inter alia we will carry out a structured review of key findings and recommendations from previous evaluations and reviews, including CRP evaluations, other CGIAR evaluations and reviews and other evaluations (e.g. of closely related research programs such as [Nutrition Innovation Lab](#)) where considered relevant.
- b) **Portfolio analysis** of the entire A4NH portfolio, based on a project database analysis, analysis of Flagship portfolios and discussions with A4NH leaders, triangulated with other views (EQs 1.4 and 4). Categories for the database analysis have been proposed and are being discussed with A4NH (the objective is to agree a set of categories that will be useful for future A4NH use in monitoring and management, as well as for the evaluation).
- c) **Self-evaluation exercises** are planned for program leaders and Center Focal Points, both to facilitate reflection and across-CRP learning in complex areas and to identify views and issues for the evaluation team to triangulate, where these might be inefficient to collect from individual interviews (e.g. EQ 4.1 – what is the value added of A4NH internationally?) Provisionally we propose two self-evaluation exercises: one for the A4NH PMC / research leaders early on in the evaluation and two which will take place at the A4NH focal point meeting in March (see Annex C for work plan), based on questions and issues provided by the evaluation team.
- d) **Semi-structured interviews of stakeholders**, as identified in the Evaluation Matrix for each EQ. While interview protocols (available from the evaluation team on request) are based closely on the questions in the matrix, we will allow flexibility and space for interviewees to raise their own issues and concerns.

Interviewees have been selected through various means including structured samples (linked to A4NH projects), complete samples of particular groups (for example, all Flagship leaders and Center Focal Points), purposive samples (people who are expected to be key informants for particular areas, as listed in the Evaluation Matrix); supplemented by smaller convenience samples (e.g. some participants at A4NH meetings that we observe) and self-selected samples (people who contact us requesting an interview). We hope to get a broad and fairly representative sample of A4NH stakeholders, but it will be more reflective of the countries visited, particularly for external stakeholders (as many CGIAR staff are being interviewed by Skype). (The mini-survey of A4NH partners will help give others a voice.) Section 5.4 discusses plans for consultation with stakeholders (including interviews) in more detail.

- e) **Two types of project samples** using structured checklists, including:

- a stratified random sample of up to 50 projects<sup>11</sup> for document analysis;

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<sup>11</sup> In Harvest Plus (Flagship 2) these are “contracts”- see Annex E for further explanation.

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- 18 projects examined in depth as part of country visits – based on the random sample above, mixed with purposeful selection of projects that offer particular potential for learning (for example about coordination, the use of seed funds, or policy linkages). A few additional projects were then added purposively to fill gaps in coverage of Research Clusters or CGIAR Centers.

Sampling procedures and the final samples and checklists are set out in Annex E, and more detailed information is available from the evaluation team on request.

The samples have been selected to give a fairly representative picture of A4NH as a whole, but cannot be used for drawing conclusions about particular Flagships or countries, due to the small size of the subsamples at those levels.

- f) **Country visits**, to look into a sample of projects (see above and Annex E) and also to explore country-level issues such as policy work and coordination among participating Centers.

**Bangladesh, India and Kenya** have been selected for the main country visits, based on five main criteria:

- Representing the main focal geographic areas for A4NH (South Asia and Sub-Saharan Africa)
- a good distribution of research across Flagships and clusters. These are the top three countries for concentration of A4NH research (see Section 2.2).
- A4NH workshops which offer the chance to efficiently meet large numbers of stakeholders (Bangladesh and India in March).
- opportunity to visit a key partner Center (or several) for A4NH
- potentially offering rich lessons about coordination, partnership, and/or policy work

In addition to these:

- **Nigeria** will be covered to some extent through Skype interviews (see projects listed in Annex E) to give some inputs from West Africa, and improve coverage of Biofortification (Flagship 2)
- The project team has made several visits to **Washington DC** (home of IFPRI, lead Center)
- Bioversity and IFAD (which has an A4NH policy project) have been visited in **Rome**

Stakeholders in other countries will be covered to the extent possible through the processes outlined in Section 5.4.

It is important to note that country visits are not “country case studies”. A4NH does not have “country programs” and the country is not the unit of analysis. The country visits are aimed at answering evaluation questions about A4NH systems and partnerships, through a project sample, rather than trying to evaluate individual projects. In country, we will seek to talk to key stakeholders connected with each chosen project, including partners, policymakers where relevant and (if they exist) others working in the same area. Field visits to examine the actual research work are not currently planned (we don’t believe that a fly-in, fly out visit will give good information) – however they are not absolutely excluded, if an issue arises which appears to make a field visit important for verification.

- g) **Focus group discussions** of CGIAR staff in key research areas which started before A4NH to discuss key changes (see specific questions to cover in EQ2):

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- Value chains (Flagship 1)
- Harvest Plus (Flagship 2)
- Aflatoxins and safety of animal source foods (Flagship 3)
- Nutrition sensitive development and Nutrition-sensitive agriculture (Flagship 4)

To the extent possible we will schedule these focus groups face to face (for example in country visits), but otherwise they may be webinars/VOIP.

- h) An **Expert Panel** to examine the specific question of forward-looking scope and focus of A4NH. Team members for the panel are listed in Table 6 and a summary of the panel process is in Annex J)

The expert panel will consider the current state of knowledge on major research gaps in agriculture, nutrition and health, the comparative advantage of A4NH and the CGIAR, and the roles of other international and national players, and produce a short report on the pros and cons of the current scope and focus of A4NH, and on options that the CRP could consider in planning its second phase. The evaluation team will facilitate the work of the Expert Panel and provide the panel with background documentation and a summary of issues.

- i) **Mini-surveys** of CGIAR staff working on A4NH-related programs and of A4NH partners (Annex K): in February, to invite participation and collect ideas, and to help quantify / document any important qualitative findings. These will be administered using web survey software (SurveyMonkey) and all responses will be treated confidentially and remain anonymous.
- j) **Observation of key A4NH meetings**, including meetings of the PMC, IAC and Center Focal Points, and researcher meetings on specific topics such as gender and nutrition, Animal Source Foods, and aflatoxins<sup>12</sup>. These provide an opportunity for the evaluation team to observe actors, processes and dynamics; hear the issues raised and how they are dealt with; and they are also an efficient way for the evaluation team to meet a wide range of staff and partners.

### 5.3. Data management and analysis

55. Templates and guidelines will be used for all document reviews and interviews. Initial checklists are presented in Annexes E, F, H and I; these will be piloted and refined. Where more than one team member is involved in scoring (e.g. for the document review), clear criteria and cross checks will be used to promote replicability. All data collection instruments will be available on request from the evaluation team, once they have been finalized.

56. The templates for project sample analysis will be based on the checklists in Annex E. Quantitative scores will be summarized (mainly as percentages with averages and ranges); qualitative observations will be summarized as appropriate to the data. For semi-structured interviews, findings from each question and respondent will be recorded by the interviewer in a standard format. Important findings will be cross-checked with interviewees, normally by email. For e-surveys, quantitative responses to Likert scales will normally be analyzed with non-parametric methods and presented as percentages. Quantitative data will be summarized as appropriate – e.g. unweighted

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<sup>12</sup> Meetings attended in the Inception Phase are listed in Annex D, and plans for attending others are marked in the work plan (Annex C).

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averages and ranges. Where appropriate (e.g. in surveys) qualitative data will be coded and frequencies presented, to give an idea of the representativeness of certain expressed views.

57. All data and documents collected, including interview notes, are being systematically filed by the evaluation team and held securely in an invitation-only on-line [Dropbox](#). Bibliographic references are uploaded to a shared [Zotero](#) group for reference management; non-confidential references will be shared with A4NH (which has compatible bibliographic software). A separate Dropbox is used for sharing confidential information (such as interview data and any confidential reports) only within the external core evaluation team; it is not accessible to the Evaluation Analyst attached to the team). This ensures that confidential information such as interview data will not be shared with A4NH staff.
58. Team members in charge of answering particular evaluation questions (see paragraph 70) will be responsible for pulling together the data on each area, triangulating evidence from different sources, and if necessary doing further work to validate or disprove initial findings. There will be regular communication within the team to resolve any methodological questions emerging, and team members will have a challenge function for each other, as a precaution against bias or 'jumping to conclusions'.
59. The final report will make reference to the sources and any known limitations of the evidence<sup>13</sup>.

### 5.4. Stakeholder consultation and dissemination

60. The inception stage of this evaluation has benefited from formal and informal consultation with a range of stakeholders, including people from central institutions of the CGIAR, A4NH funders, researchers both inside and outside the CGIAR, other key institutions such as the Scaling Up Nutrition (SUN) movement, and independent evaluators engaged in other CRP or CGIAR evaluations. People contacted to date are listed in Annex D).
61. Table 5 lists the main categories of stakeholders in the evaluation and the proposed means of consultation / dissemination for each.
62. For consultation, the main processes proposed are:
  - Inception phase – open-ended interviews about what stakeholders would like the evaluation to focus on, and share information (completed – see Annex D)
  - Main phase - semi structured interviews and surveys provide an opportunity for input; invitation to stakeholders to contact evaluators with views (paragraph 63)
  - Feedback phase - discussions with key target audiences of the specific emerging findings and potential recommendations relevant to them (mostly by VOIP/web conferencing); online consultations with 'insiders' (CGIAR staff) and other stakeholders (invitation to comment on specific relevant emerging findings via the networks mentioned in paragraph 63); the draft Expert Panel report and the draft evaluation report will also be widely circulated for comments.

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<sup>13</sup> In the interests of readability of the main report, most data will be presented in annexes and extensive use will be made of footnotes/endnotes.

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63. A common challenge for evaluators of international programs is that often the only way of reaching stakeholders in partner countries is through the program staff, raising questions as to the independence of the people contacted. The [Global Forum for Agricultural Research](#) has agreed to help us try to reach out to other stakeholders: by ‘advertising’ through its website and networks and asking for views at key points; and by informing its stakeholders and relevant fora in country ahead of our country visits and asking if they would like to contribute views. We will ask specialist networks for the areas of A4NH, such as the [UN Ag2Nut](#), to do the same. We will also benefit from the extensive country networks of individuals in the Evaluation Oversight Group and the Expert Panel.
64. **Dissemination** of the evaluation will be both verbal and written. As with all evaluations, we face the tension between producing short and interesting products which are of interest to our various target audiences, and ensuring that our results are thoroughly documented and evidenced to comply with evaluation standards. We propose:
- A main evaluation report and a separate volume of annexes with supporting evidence. We will aim for 50 pages with an executive summary of 6 pages, but there may be a lot to say.
  - (depending on time and findings) Short briefing papers tailored to various audiences. These may cover a single topic, such as Lessons for Capacity Development.
  - Presentations for various audiences and findings, depending on interest and resources. We propose a webinar aimed at ‘insiders’ (A4NH management and staff). We may also take advantage of any major A4NH-related meetings for presentation, if there is interest. Some presentations may be carried out by the Evaluation Manager rather than the independent evaluation team members.
  - Specific proposals for the above, including the structure of the main report and topics/targets of any briefing papers and presentations, will be presented to the Evaluation Manager and Oversight Group.

**Table 5: Main stakeholder groups in evaluation and proposed means of consultation**

| Stakeholder group<br>(note: some people are in more than one group) | Proposed means of consultation and dissemination<br><br>(Note that a single meeting/briefing may be targeted to more than one stakeholder group - see paragraph 62)  |
|---|--|
| Independent Advisory Committee and IFPRI Board (governance)         | <ul style="list-style-type: none"> <li>• Represented on Oversight Group (2)</li> <li>• Oversight Group Chair is also IFPRI Board Chair</li> <li>• Requested for comments on inception report and draft report</li> <li>• Opportunity for discussion of findings and provisional recommendations via VOIP/Webconferencing</li> <li>• Presentation of final report on request</li> </ul> |
| A4NH Program Management Committee                                   | <ul style="list-style-type: none"> <li>• Represented on Oversight Group (3)</li> <li>• Discussion of findings and provisional recommendations via VOIP/Webconferencing</li> <li>• Requested for comments on inception report and draft report</li> <li>• Presentation of final report on request</li> </ul>  |
| ANH management, Flagship leaders and Focal Points                   | <ul style="list-style-type: none"> <li>• Open-ended interviews at inception stage (Annex D)</li> <li>• Semi-structured interviews in main phase</li> <li>• Self-evaluation exercises (Section 5.2)</li> </ul>  |

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| Stakeholder group<br>(note: some people are in more than one group)            | Proposed means of consultation and dissemination<br><br>(Note that a single meeting/briefing may be targeted to more than one stakeholder group - see paragraph 62)   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Discussions of findings and possible recommendations with cross-CGIAR implications, via VOIP/Webconferencing.</li> <li>• Requested for comments on inception report and draft report</li> <li>• Presentation of final report on request (via webinar)</li> </ul>   |
| CGIAR staff working on A4NH programs and projects                              | <ul style="list-style-type: none"> <li>• Mini-survey with open questions to get initial views, and a request to make individual contact with evaluation team if interested</li> <li>• Staff on a sample of projects (Annex E) will be interviewed</li> <li>• E-survey in main phase of evaluation</li> <li>• Updates at key intervals through internal website (Teamspace), the <a href="#">external evaluation website</a> and Center Focal Points</li> <li>• Opportunity for discussion of findings and provisional recommendations via webinar presentation</li> <li>• Requested for comments on inception report and draft report</li> <li>• Presentation of final report on request (via webinar)</li> </ul> |
| CGIAR communities of practice: e.g. gender and nutrition, capacity development | <ul style="list-style-type: none"> <li>• Informal discussions and emailed inputs at inception stage (Annex D)</li> <li>• Requested for comments on relevant sections of inception report and draft final report including provisional recommendations</li> <li>• Opportunity for briefings and/or VOIP/Webconferencing discussions on specific relevant findings and recommendations</li> </ul>   |
| Central CGIAR institutions: Consortium, Fund Council, ISPC, IEA                | <ul style="list-style-type: none"> <li>• IEA is represented on Oversight Group by an independent Quality Assuror</li> <li>• ISPC was asked to participate in the Oversight Group, but declined.</li> <li>• Open-ended interviews at inception stage (Annex D)</li> <li>• Requested for comments on inception report and draft report</li> <li>• Discussions of findings and possible recommendations with cross-CGIAR implications.</li> <li>• Presentation of final report on request (via VOIP/Webconferencing)</li> </ul>  |
| Relevant CGIAR Centers and CRPs  | <ul style="list-style-type: none"> <li>• Open-ended interviews at inception stage (Annex D)</li> <li>• Semi-structured interviews in main phase</li> <li>• Requested for comments on draft evaluation report</li> <li>• Opportunity for discussion of findings and provisional recommendations via webinar presentation</li> <li>• Presentation of final report on request (via webinar)</li> </ul>   |
| Funders – bilateral and CGIAR Fund   | <ul style="list-style-type: none"> <li>• Open-ended interviews at inception stage (Annex D)</li> <li>• Requested for comments on key evaluation products</li> <li>• Represented on Oversight Group</li> <li>• Opportunity for discussion of findings and provisional recommendations via VOIP/Webconferencing</li> <li>• Opportunity for comments on draft evaluation report.</li> <li>• Opportunity for presentation of final report (via VOIP/Webconferencing)</li> </ul>   |
| A4NH partners – especially in country  | <ul style="list-style-type: none"> <li>• International partners represented on Oversight Group (2)</li> <li>• Semi-structured interviews of partners connected to the project sample in country visits</li> </ul>   |

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| Stakeholder group<br>(note: some people are in more than one group) | Proposed means of consultation and dissemination<br><br>(Note that a single meeting/briefing may be targeted to more than one stakeholder group - see paragraph 62)   |
|---|---|
|   | <ul style="list-style-type: none"> <li>• Semi-structured interviews with a limited number of international partners to be decided</li> <li>• Invitations to share views and comments on draft findings through GFAR – see paragraph 62</li> <li>• E-survey of partners listed by A4NH and an open invitation through the networks to participate in the survey</li> </ul>   |
| A4NH stakeholders – especially in country                           | <p>This is not a project-level evaluation and we feel that fly-in, fly-out “consultations” with direct intended beneficiaries of A4NH research would not be meaningful in answering the evaluation questions. However, as part of the analysis of A4NH projects, we will look to see to what degree there has been any attempt to seek the views of intended beneficiaries at appropriate stages (e.g. consultation on varietal selection)</p> <ul style="list-style-type: none"> <li>• Semi-structured interviews of a limited number of stakeholders connected to the project sample in country visits. This will focus on decision-makers and organizations working in / relevant to the same area and concentrate on partnership and policy issues</li> <li>• Focus groups of partners to discuss policy and partnership (this sample may be limited by availability)</li> <li>• Invitations to share views and comments on draft findings through GFAR and relevant networks such as Ag2Nut – see paragraph 62</li> <li>• Regular updates on the evaluation posted on the <a href="#">external evaluation website</a></li> </ul> |

### 5.5. Main limitations/ constraints of the evaluation

65. The major limitation of this evaluation is limited time and resources. This inception report outlines an ambitious program of work with a relatively small team, over a short time frame (see Section 6.3). It will be a challenge to cover every aspect of the EQs in equal depth, for a complex and evolving international multi-partner program like A4NH. In response to concerns about the level of ambition and feasibility of the workplan expressed by the Evaluation Oversight Group in response to the first draft of this Inception Report, we have made some cuts to our original plans: for example, we are replacing one country visit (Nigeria) with Skype interviews of key people, and we are cutting back on the project document review, taking smaller samples and looking at what can be learned from those and the variability of the sample before scaling up. However, this remains a complex and challenging exercise. In some areas, it may only be possible for the evaluation team to raise issues for further scrutiny by others, rather than doing a full investigation. We will keep in touch with the Evaluation Manager and Evaluation Oversight Group regarding progress and priorities.

66. Incomplete documentation is another potential concern. Although A4NH has been open with information (giving us free access to its internal website), much documentation on the research program – including financial data - is in the hands of Centers or bilateral projects and may be time-consuming or difficult to access. Documentation on the situation prior to the CRP (for EQ2) may also be lacking. For these reasons, the quantity and quality of evidence we are able to collect on

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different topics will vary. As explained above, we will deal with this by making any limitations of evidence clear in our findings and conclusions.

67. A challenge in identifying the external contribution and value added of A4NH (see EQ4.1) is likely to be the lack of visibility of the A4NH 'brand'. While the CGIAR Centers and many individual researchers have strong 'brands', A4NH as a name has a relatively low profile. This point is illustrated by a quick Google search on the names of the four A4NH flagship leaders, all of whom are internationally well-known researchers. Their public profiles are all linked to CGIAR Centers, and A4NH is only mentioned in one of them<sup>14</sup>. (Whether 'A4NH' *should* itself be a more visible brand (CGIAR Consortium Office, 2014a) is a matter of debate and we can address this in the evaluation; the concern raised in this section is simply that it might be difficult for stakeholders to identify that a particular contribution was made by A4NH as a CRP.) This issue will be addressed mainly in Evaluation Question 2, which aims to uncover the value added and disadvantages of the CRP itself, as opposed to its component parts/Centers.
68. As previously mentioned, the evaluation will not be able to independently verify the outputs, outcomes and impacts of A4NH. A sample of projects will be examined in more detail through interviews with staff and stakeholders, but we have no plans to "audit" the results by visiting research sites, as this will not be credible or useful in a fly-in, fly-out visit. Instead, we will look to see whether A4NH and its partner Centers have adequate checks on their monitoring data.

## VII. MANAGEMENT, ORGANIZATION AND TIMING OF THE EVALUATION

### 6.1. Team Composition/Roles and Responsibilities

69. The core evaluation team comprises three independent evaluators (total up to 190 person days). They are supported by an Evaluation Analyst employed by A4NH and attached to the team for the duration of the evaluation. An expert panel, managed and facilitated by the core team, will analyze the specific question of the scope and focus of A4NH (Section 5.2) – total 25 person days. Team member profiles are in Annex B.
70. The specific responsibilities of each team member are indicated for each evaluation subquestion in Annex A (Evaluation Matrix) and for each activity in Annex C (Work plan). Broad responsibilities are summarized in Table 6. A work planning spreadsheet (available on request from the evaluation team) specifies team member responsibilities in further detail for particular evaluation activities and for the analysis of particular questions. In addition to their responsibilities as indicated in the above documents, team members will be flexible and support each other as needed.
71. The evaluation team leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards.

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<sup>14</sup> Search carried out 9 Jan 2015 on each name. No terms referring to the CRP/A4NH are visible in the first three pages of the Google search. All four researchers have profiles on the first Google search page: the first to show up are from the relevant CGIAR Center and two people have second profiles, but none are from A4NH. Only one of the above profiles mentions A4NH at all (in the last line).

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**Table 6: Evaluation Team Members and their main responsibilities**

| Name   | Role  | Main responsibilities  |
|--|---|--|
| Julia Compton  | Team Leader (up to 90 days)   | Manage team. Lead author of inception report and final evaluation report. Helping evaluation manager to identify and recruit other team members. Lead on research gap/architecture analysis to inform Expert Panel, and on surveys. Support on methods and analysis. Country visits: Bangladesh, Kenya |
| Diana McLean   | Specialist in research evaluation (up to 70 days)                               | Manage and facilitate Expert Panel. Lead on quality of research and project document review. Country visits: Bangladesh, India, Kenya  |
| Ben Emmens   | Specialist in management, partnerships and capacity development (up to 40 days) | Lead on all people-management related topics including human resources, partnerships and capacity development. Country visits: Kenya   |
| Mysbah Balagamwala   | Evaluation Analyst attached to the evaluation by A4NH                           | Major contribution to data collection, analysis and presentation, in areas including research gap/architecture analysis, cross-CGIAR activity mapping; project analysis  |
| Bonnie McClafferty, (GAIN);<br>Festus Murithi (KALRO);<br>Haris Gazdar (CSSR);<br>Simplice Nouala (AU-IBAR);<br>Robert Bos (independent, ex-WHO) | Expert panel (5 days each)  | Analyze the scope and focus of A4NH, as described in Section 5.2 and Annex J   |

### 6.2. Managing independence and Conflict Of Interest (COI)

72. Both A4NH and the evaluation team are determined to make this evaluation comparable in independence and quality with those of the IEA. Independence is an issue we would like to address directly in this inception report, because there is a reasonable concern that an evaluation commissioned by the CRP might be less impartial in its approach and findings than one commissioned by an independent body such as the IEA. Here are the safeguards in place to protect the independence of the evaluation team:

- Evaluation team members fully independent and without Conflict of Interest(see below)
- Evaluation Oversight Group chaired by and containing several people independent from A4NH
- Independent quality assurance of instruments and products from the evaluation (managed by IEA)

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- Access to information: The evaluation team has been given access to the A4NH ‘teamspace’ (internal website) for the duration of the evaluation, providing access to documentation including databases, emails and records of meetings. (However, as explained in the limitations section, A4NH does not have complete project or financial data as it is kept in Centers)
- Randomized sampling used in project selection for the document review
- The evaluation manager is not structurally independent from A4NH, but is endeavoring to maintain ‘behavioral independence’.

73. We have asked all team members to declare any potential conflicts of interest (COI), either real or perceived, and to recuse themselves if a COI issue arises in the course of the work. The three core team members have no real or perceived conflicts of interest. Some of the expert panel members might have a potential/perceived conflict of interest, due in one case to having worked in a research program that was later incorporated into A4NH, or in several cases, because they work in a research institution that might potentially benefit from A4NH funds in future. However: the expert panel has a well-defined and limited mandate, which is to look at potential pros and cons of A4NH working in different (very broad) research topic areas – and not at specific research activities. The expert panel analysis will consist of a joint and transparent debate and analysis of documentary evidence, incorporated in a report that will be circulated for comments and then made publicly available. For these reasons, we do not consider COI to be an obstacle for the evaluation.

### 6.3. Timeline and deliverables

The proposed timeline and main deliverables are indicated in

74. Table 7 and Annex C. The Evaluation Report is the main deliverable; it will follow an agreed format and length (paragraph 64) and comply with CGIAR evaluation standards (IEA, 2014b). It will contain a limited number of practical recommendations for A4NH management. In accordance with the CGIAR Evaluation Policy (CGIAR Fund and CGIAR Consortium, 2012), management must prepare an official response to the report and its recommendations. The report will also contain relevant lessons for other stakeholders (principally central institutions of the CGIAR).
75. Timing is an important consideration for the usefulness of this evaluation. Together with the Evaluation Manager and primary users, it was decided to aim for a draft evaluation report in June, so that emerging findings can feed into the development of the A4NH pre-proposal for Phase 2 CRPs which is due in August. This imposes a tight timeline on data collection, write-up and consultation. Careful planning of date ‘windows’ during which comments will be requested, and keeping to deadlines, will be important for the evaluation team, the Evaluation Oversight Group, primary evaluation users and other stakeholders.

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**Table 7: Proposed timeline for evaluation**

| Phase               | Period              | Main outputs  | Responsibility   |
|---------------------|---------------------|---|--|
| Preparation         | Sep 2014 – Dec 2014 | Final ToR<br>Evaluation team recruited  | Evaluation Manager, with support from Evaluation Team Leader |
| Inception           | Dec 2014 – Jan 2015 | Inception Report  | Evaluation team  |
| Enquiry             | Feb – May 2015      |   | Evaluation team  |
| Reporting           | May 2015            | Draft/Final Expert Panel report (will become annex to main Evaluation Report) | Evaluation team/ Expert panel                                |
|                     | June 2015           | Draft Evaluation Report   | Evaluation team  |
|                     | July 2015           | Final Evaluation Report , briefings etc. as agreed (see paragraph 64)         | Evaluation team  |
| Management Response | October 2015        | Management Response   | A4NH Management and others                                   |
| Dissemination       | Oct-Nov 2015        | As decided: see above   | Evaluation Manager   |

### 6.4. Management and governance of the evaluation

76. Roles and responsibilities of evaluation management and governance will follow those outlined in the Guidance on CRP Evaluations<sup>15</sup> (IEA, 2013).
77. The Evaluation Manager in A4NH, Nancy Johnson, is responsible for: planning the evaluation up to the ToR, contracting the evaluation team, acting as secretary to the Evaluation Oversight Group, managing the evaluation process and facilitating the evaluation and stakeholder consultation, and disseminating the evaluation findings and recommendations.
78. The Evaluation Oversight Group (EOG) is shown in Table 8. The EOG works with the evaluation manager to promote learning by and accountability to primary evaluation clients, while protecting the independence of the evaluation team. The EOG will review proposals and draft outputs and provide advice at key stages in the evaluation: in particular the EOG will comment on this inception report, the report of the expert panel and the draft evaluation report.

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<sup>15</sup> note that the Oversight Group is called the Reference Group in the guidance document.

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**Table 8: Evaluation Oversight Group**

| Name   | Current affiliation   |
|--|---|
| <b>A4NH Independent Advisory Committee</b>   |   |
| Mahendra Dev (chair)   | Indira Gandhi Institute of Development Research and member of IFPRI Board of Trustees |
| Mary Amuyunzu-Nyamongo   | African Institute for Health and Development (AIHD)                                   |
| <b>PMC – internal to A4NH</b>  |   |
| John McDermott, CRP Director   | A4NH  |
| Marie Ruel / Stuart Gillespie, (alternates)<br>Leaders of Integrated Programs and Policies<br>Flagship, A4NH | IFPRI   |
| Alan de Brauw, Leader of Value Chains Flagship   | IFPRI   |
| Maya Rajasekharan, A4NH Center Focal Point   | CIAT  |
| <b>PMC – external to A4NH</b>  |   |
| Jeff Waage   | London International Development Centre / LCIRAH                                      |
| Manish Kakkar  | Public Health Foundation of India   |
| <b>Other stakeholders</b>  |   |
| Laura Birx   | BMGF  |
| Alison King  | IEA – Quality Assurance   |
| Boitshepo (Bibi) Giyose  | FAO   |

### 6.5. Quality Assurance

79. The IEA is providing advice and input to the various Evaluation Managers to ensure that this evaluation, along with other CRP-commissioned evaluations not covered by IEA (see paragraph 6), meets CGIAR evaluation standards of quality and independence (IEA, 2014). For this purpose, two independent quality assurance specialists contracted by the IEA are responsible for reviewing the draft plans, instruments and outputs of the evaluation at key stages. At minimum this includes: the Terms of Reference and Evaluation Questions, this Inception Report, key data collection instruments and sampling plans, and the draft Final Report.
80. Once completed, the final evaluation report will then undergo a quality review by independent external quality assurance specialist/s, to be selected by IEA. The validation will assess the quality of the evaluation and its outputs, and provide an overview assessment prior to submission to the Fund Council.

## VIII. REFERENCES

The evaluation team has already collected and filed a large number of reference documents related to A4NH. The full database is available on request from the evaluation team. The list below refers only to those cited in this inception report.

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- IEA (2013) *Guidance for the Independent External Evaluation of CGIAR Research Programs (CRPs)*. Guiding Documents, Available from: <http://iea.cgiar.org/publication/g1-guidance-independent-external-evaluation-cgiar-research-programs-crps> (accessed 28 January 2015).
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ANNEX A. EVALUATION DESIGN MATRIX

| Evaluation question (EQ)  | Proposed bases of judgement   | Issues and (where relevant) indicators   | Proposed information sources   | Proposed evaluation product   | Lead |
|---|---|--|--|---|------|
| EQ1 Is A4NH on course to achieve its planned outputs, outcomes and impacts, including the CGIAR's SLOs and IDOs? Why or why not? Have there been significant unplanned results and why? |   |  |  |   |      |
| 1.1 Have different partners in the CRP (Flagships, Centers, etc) delivered planned outputs and immediate outcomes? Is it likely that expected impacts will be achieved?                 | <p>Outputs and outcomes delivered and reported as planned.</p>          | <p>Summary and commentary on results from A4NH monitoring and reporting system :</p> <p>To consider:</p> <p>Completeness of portfolio reporting</p> <p>Level of information provided on outputs and outcomes</p> <p>Information on equity and gender including disaggregation of data</p> <p>Evidence provided to substantiate outputs/outcomes</p> <p>Results and lessons from relevant impact evaluations.</p> | <p>Document review: Annual reports, project and program progress reports, A4NH monitoring system, database, other relevant monitoring systems (e.g. Center),evaluations and impact evaluations</p> <p>Interviews: Program Management Unit, Flagship leaders. Other interviews as needed to elucidate specific questions arising.</p> | <p>Summary of and commentary on results from A4NH monitoring and reporting system, and lessons from relevant impact evaluations, mentioning factors listed at left.</p> | DM   |
|   | Theories of Change /Impact Pathways used effectively to manage research | Clear and logical ToCs/impact pathways for each Flagship and for a sample of research projects. This should include: clear target group-   | Document review : planning and monitoring documents for flagships  | Summary of issues supported by  | JC   |

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| Evaluation question (EQ)  | Proposed bases of judgement   | Issues and (where relevant) indicators   | Proposed information sources   | Proposed evaluation product   | Lead  |
|---|---|--|--|---|-------|
| 1.2 Have there been significant unplanned outputs and/or outcomes?                          | Significant unplanned outputs reported and why.   | <p>appropriate outcomes clear identification of key assumptions, and evidence to support them.</p> <p>Mechanism for monitoring impact pathways and risks, and adjustment if necessary.</p> <p>Summary and analysis of results marked as unplanned from A4NH monitoring and reporting system. Additional information from samples in 1.3 below.</p> | <p>Evidence from a sample of projects: See project sampling plan and checklist</p> <p>Interviews with research leaders</p> <p>Document review: sample of research lines; main areas of work.</p> <p>Progress reports, management reports, stakeholder interviews, e-survey</p> | Table with results from sample of projects  | DM    |
| 1.3 What factors have helped or impeded delivery in different areas? (see also EQs 2 and 3) | <p>Identification and analysis of factors that have helped or impeded research in a sample of research lines.</p> <p>Additional information gathered for other EQs.</p> | <p>See Annex E for factors to consider.</p> <p>Where possible link issues arising to the CRP (see EQ2 and EQ3) rather than general project issues.</p>   | <p>Self-evaluation exercise by research leaders on internal and external results and factors which have helped and constrained (facilitated by Evaluation Manager)—triangulated by evaluation team</p> <p>Document review for sample of 50 projects.</p>                       | Table of factors and judgement of evaluation team on each project. Summary and analysis of main issues arising. | DM/JC |

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| Evaluation question (EQ)   | Proposed bases of judgement   | Issues and (where relevant) indicators   | Proposed information sources   | Proposed evaluation product  | Lead      |
|--|---|--|--|--|-----------|
| <p>1.4 Is A4NH coherent, i.e., are Flagships and individual research lines likely to contribute strategically to overarching aims and outcomes</p>   | <p>Strategic planning and coherent portfolios, with clear goals and target groups<br/><br/>(See also EQ4.2 a)</p> | <p>Analysis of overall A4NH portfolio looking at:<br/><br/>Clear rationale for the portfolio of each flagship, target groups and high-level impact pathways, evidence of strategic decisions (e.g., dropping particular legacy research lines) and synergies between projects. Evidence provided by A4NH leaders and triangulated.</p> | <p>More in-depth case studies in country (c. 12-16) – document review and interviews of researchers and other relevant staff, partners, other stakeholders.<br/><br/>Data from EQ2 - pre-post CRP investigation of the research areas of c 10 projects<br/><br/>See Annex E on proposed samples.</p> |  |           |
|  |   |  | <p>Document review: CRP and flagship proposals<br/><br/>Interviews: flagship and research leaders</p>  | <p>Summary and discussion of issues supported by tables summarising analysis of portfolio.</p> | <p>JC</p> |
| <p>EQ 2 Within the CGIAR, has A4NH added value in comparison to the pre-reform ways of doing business? Have the advantages of working through a CRP, within the reformed structures and systems, outweighed the disadvantages?</p> |   |  |  |  |           |

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| Evaluation question (EQ)   | Proposed bases of judgement                         | Issues and (where relevant) indicators  | Proposed information sources  | Proposed evaluation product   | Lead         |
|--|---|---|---|---|--------------|
| <p>Subquestions: What have been the effects of the CRP (as currently operating with CGIAR systems) on key aspects of research planning and implementation - in particular impact orientation, focus on gender and equity, coordination of research, and performance management - across the CGIAR and partners? Has science quality been maintained? What have been the negative effects of the new structure and systems, if any? (See also EQ 4.2.2 about the appropriate balance between working across the CGIAR and other areas of A4NH work)</p> |   |   |   |   |              |
| <p>2.1 Impact orientation</p>  | <p>a) Focus on contributing to impacts at scale</p> | <p>Alignment with CGIAR results framework<br/>           Change in overall portfolio towards more impact orientation (see also EQ1.4)<br/>           Comparison of focus and impact pathways in a sample of research lines which existed pre and post-CRP (see supporting table of issues to examine)</p> | <p>Evidence and examples of changes provided by A4NH and triangulated<br/>           Document review : CRP and CGIAR results frameworks; Management and flagship communications<br/>           Interviews: management, researchers, partners<br/>           E-Survey: researchers<br/>           Evidence from project sample document review and country visits, covered in EQ1<br/>           Focus group meetings of researchers in key areas (mentioned in main text)</p> | <p>Summary of changes including:<br/>           table comparing sampled research lines pre-post on the parameters at left<br/>           e-survey results</p> | <p>JC/DM</p> |
|  | <p>b) Focus on gender and equity issues</p>         | <p>See Annex G for details.<br/>           This will include a specific review of the A4NH efforts and resources devoted to gender issues.</p>  | <p>ditto</p>  | <p>JC</p>   |              |

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| Evaluation question (EQ)   | Proposed bases of judgement   | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product   | Lead  |
|----------------------------|---|---|--|---|-------|
|                            | c) Appropriate attention to capacity development  | See Annex H for details.  | ditto  | BE  |       |
| 2.2 Coordination           | <p>Effective and efficient coordination among CG Centers, CRPs and other partners</p> <p>See also EQ3.2 (partnerships) and 4.2.2 (emphasis on working across CG vs A4NH own research)</p> | <p>Joint analysis, planning, priority setting, resource mobilization and allocation</p> <p>Achievement of a “critical mass” of staff in key areas of work;</p> <p>Reduced duplication of effort</p> <p>Harmonisation of research methods (if/where useful)</p> <p>Shared costing and facilities</p> <p>Improved inter-communications and learning</p> | <p>Evidence and examples of changes provided by A4NH and triangulated</p> <p>Document review: CRP and Flagship planning documents; evaluations; Flagship resource mobilization documents</p> <p>Interviews: CRP and Flagship managers, other CGIAR managers, researchers, partners</p> <p>E-Survey: researchers</p> <p>Comparison of sample of research lines pre-post (see 2.1) Focus groups as above</p> | <p>Summary of key changes with examples e.g.</p> <ul style="list-style-type: none"> <li>- diagram of a successful planning process</li> <li>- Case study of collaboration / coordination</li> </ul> | JC/DM |
| 2.3 Performance management | <p>Effective and efficient performance-based management systems</p> <p>Effective and appropriate use of external evaluations</p>  | <p>Management and stakeholder views of pros and cons of performance management systems</p> <p>Performance management in the same sample of research lines pre-post CRP</p> <p>The above to cover:</p>   | <p>Evidence and examples of changes provided by A4NH and triangulated</p> <p>Document review: CRP and Flagship planning, budgeting and monitoring documents; evaluations</p> <p>Interviews: management, researchers, partners</p>  |   | DM    |

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| Evaluation question (EQ)  | Proposed bases of judgement  | Issues and (where relevant) indicators   | Proposed information sources  | Proposed evaluation product   | Lead |
|---|--|--|---|---|------|
|   |  | <p>Planning and budgeting</p> <p>Monitoring</p> <p>Evaluation</p> <p>Staff performance management (see separate sheet on Human Resource issues)</p> <p>Framework: Principles of Managing for Development Results (OECD/World Bank, 2006)</p> <p><i>(and something on performance management in research to complement)</i></p> |   |   |      |
| 2.4 Science/ research quality and innovation  | See Annex F for details  |  |   |   | DM   |
| 2.5 Other positive and negative effects<br><i>Specific issues raised by key stakeholders in inception phase</i> | a) Resource mobilization and amount, stability and timeliness of funding | <p>Alignment of budgets to planned outputs and outcomes/different funding streams; evidence of timely receipts and disbursements;</p> <p>Practical effects of unstable or late funding</p> <p>Organizational response to financial instability including effects on resource mobilisation</p>                                  | <p>Evidence and examples of changes provided by A4NH management, staff and partners and triangulated</p> <p>Document review: Financial reports; audit reports , other CRP evaluations</p> <p>Interviews: CRP Director and Finance Officer; Flagship managers, Fund Office, CO, donors</p> | <p>Summary of evidence on the extent and severity of any problems and examples of practical effects</p> <p>Practical recommendations if</p> | DM   |

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| Evaluation question (EQ) | Proposed bases of judgement                        | Issues and (where relevant) indicators  | Proposed information sources  | Proposed evaluation product   | Lead |
|--------------------------|--|---|---|-------------------------------|------|
|                          |  |   | Focus groups as above E-survey – question for researchers   | possible (within constraints) |      |
|                          | b) Realism and stability of demands on researchers | Views of researchers on pros and cons of reform on their own work   | Document review : Financial reports; audit reports; HR statistics (job descriptions, vacancies/turnover, leave w/out pay, delayed recruitments, etc.)<br>Interviews: key management staff (Finance, HR, CRP and Flagship managers, researchers, partners)<br>Mini-survey: open-ended questions on pros and cons of the change for individual respondents<br>Focus groups as above | Ditto                         | BE   |
|                          | c) Administrative overheads and transaction costs  | Management, staff, and funder views on pre/post transaction costs, including processes (meetings etc)<br><br>Staff time management analysis where data is available | Evidence provided by A4NH administration, triangulated, about pre/post transaction costs<br><br>Document review: Financial reports; audit reports; management reviews/transaction issues<br><br>Interviews: CRP Director and Finance Officer, FO, key donors  | Ditto                         | DM   |

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| Evaluation question (EQ)   | Proposed bases of judgement  | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product  | Lead |
|--|--|---|--|--|------|
|  |  |   | IFPRI/other time management data pre/post comparison – if available<br>E-survey – question for researchers   |  |      |
|  | d) Any other unexpected effects  | Evidence of other unexpected positive or negative effects   | Document review<br>Interviews: key management staff, researchers, partners<br>E-survey: open question in mini-survey (see 2.5 b)   | Ditto  | BE   |
| <b>EQ3 Does A4NH have the right resources, systems and approach to partnerships to deliver on its objectives?</b>              |  |   |  |  |      |
| 3.1 Does the CRP (as currently operating within CGIAR systems) have effective and efficient management and governance systems? | a) Effective and efficient structure and functioning of management and governance arrangements | Clear, agreed, effective and adequately resourced management and governance arrangements<br>Appropriate engagement with staff | Document review: CRP governance review 2013 and management response from A4NH and Consortium, CGIAR management and governance (IAC/IPRI Board) reports, evaluations; employee engagement surveys<br>Interviews: A4NH, CGIAR and IFPRI management and governance<br>Observation: of Independent Advisory Committee and Program Management Committee meetings<br>E-survey: to cover staff engagement | Figure of governance and management structures<br><br>Summary and discussion of G&M issues drawing on data at left | JC   |

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| Evaluation question (EQ)  | Proposed bases of judgement  | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product  | Lead |
|---|--|---|--|--|------|
|   | Effective performance management system – see EQ2.3                                      |   | See EQ2.3  |  |      |
|   | b) Effective HR system which supports staff and aligns incentives with objectives of CRP | HR policies, procedures and staffing  |  |  | BE   |
|   | c) Effective and efficient administration, including contracting and financial flows     | See Annex I for details of HR issues to examine and proposed data sources   |  |  |      |
|   |  | Evidence from internal audit report<br>Adequate finance and human resources and systems for support services (e.g. facilities, contracting, travel, IT, capdev, media, communications and knowledge management) | Document review: Internal Audit report/s and management response; documents on standard operating systems, financial management, audit, risk analysis and risk management, HR, IT, etc.; evaluations or management/admin reviews<br>Interviews: IFPRI/CRP management and administration officers; staff representatives (if exist) | Table of key findings from audit report including update from CRP on actions taken<br><br>Section of eval report dealing with delays issue | BE   |
| 3.2 Is the CRP selecting, developing and managing partnerships appropriately to achieve | a) Appropriateness and effective use of the 2012 CRP Partnership Strategy                | Awareness and use of Partnership Strategy<br>Experience with strategy, strengths and areas to improve   | See Annex H for partnership and capdev issues to examine and data sources  |  | BE   |

**INCEPTION REPORT: INDEPENDENT CRP-COMMISSIONED EXTERNAL EVALUATION OF A4NH**

| Evaluation question (EQ)   | Proposed bases of judgement   | Issues and (where relevant) indicators  | Proposed information sources | Proposed evaluation product  | Lead                |
|--|---|---|------------------------------|--|---------------------|
| objectives and sustain benefits?   |   |   |                              |  |                     |
|  | <p>b) Appropriate consideration of capacity development in partnerships</p> <p>c) Extent to which the CRP has led to more appropriate partnerships for achieving impact<br/><br/>(This also feeds into EQ2)</p> | <p>See Annex H for partnership and capdev issues to examine and data sources</p> <p>See Annex H for partnership and capdev issues to examine and data sources<br/>This will also draw on evidence from EQ2.2 (coordination)</p> |                              | <p>Discussion supported by:<br/><br/>Table of A4NH performance against partnership indicators<br/><br/>Case study boxes of successful and less successful partnerships<br/><br/>Evidence on pre-post CRP changes</p> | <p>BE</p> <p>BE</p> |
| <b>EQ4 Is the scope and focus of A4NH relevant and appropriate?</b>  |   |   |                              |  |                     |
| 4.1 Internationally, within the changing national and international context and architecture, how has A4NH added value to date? Could its scope and focus be improved to increase its international 'value-added'? |   |   |                              |  |                     |

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| Evaluation question (EQ)  | Proposed bases of judgement   | Issues and (where relevant) indicators   | Proposed information sources  | Proposed evaluation product   | Lead      |
|---|---|--|---|---|-----------|
|   | <p>Perceived value added by A4NH at international (and national) level</p> <p>Reflections from EQ4.2 and 4.3 on how scope and focus affects the 'value added'</p> <p>Limitations include the extent and representativeness of opinions and documentary evidence</p> | <p>Self - identified value added, triangulated with other views and documentary evidence (e.g. of change in policy or discourse) if available.</p> <p>Mapping where A4NH fits in the international architecture (see 4.2.1 d)</p>                            | <p>Self-assessment (A4NH CRP and Flagship leaders</p> <p>Interviews: external stakeholders both in the CGIAR (e.g. FC, CO) and externally (donors, policy-makers)</p> | <p>Map (figure) A4NH and where fits in international architecture R&amp;D.</p> <p>Table of potential value adds vs summarized critique</p> <p>Summary of responses (e-survey or otherwise) in appendix.</p> |           |
| 4.2 Is there an appropriate balance within and among the three main areas of work of A4NH: i.e. A4NH's research, working across the CGIAR and influencing international policy? |   |  |   |   |           |
| 4.2.1 A4NH work area 1: International research on agriculture, nutrition and health and the A4NH "niche"  |   |  |   |   |           |
| <p><i>Backward-looking;</i></p> <p><i>Were past decisions reasonable and what lessons can be learned?</i></p>   | <p>a) Clear rationale for current scope, focus and resourcing of A4NH, based on broad and transparent consultation</p>  | <p>To check:</p> <ul style="list-style-type: none"> <li>- Clear impact pathways (evidence from EQ1)</li> <li>- consideration of how A4NH fits with other actors</li> <li>- allocation among flagships in terms of resources and expected outcomes</li> </ul> | <p>CRP proposals, subsequent revisions and other supporting documents provided by CRP</p> <p>Interviews with CRP and Flagship management and key partners</p>         | <p>Box with summary of rationale /commentary</p>  | <p>JC</p> |

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| Evaluation question (EQ) | Proposed bases of judgement   | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product   | Lead  |
|--------------------------|---|---|--|---|-------|
|                          |   | <ul style="list-style-type: none"> <li>- main centers and other partnerships</li> <li>- main research questions</li> <li>- geographic coverage</li> <li>- expected uptake and scaling out of results</li> <li>- documentation of consultation and consideration of stakeholder views</li> </ul> <p>sample of key internal and external stakeholders (inc ISPC) broadly agrees that they were adequately consulted</p> | E-survey question  |   |       |
| <i>Forward-looking:</i>  | b) Current/planned configuration of A4NH judged appropriate to the current and future context | <p>Clear rationale for research priorities and division of responsibilities with other R&amp;D organisations, as judged by expert panel</p> <p>Criteria to be decided by expert panel but likely to include:</p> <ul style="list-style-type: none"> <li>- Research gaps analysis</li> <li>- Specific niche and advantages of CGIAR</li> </ul> <p>Constraints (funding and others)</p>                                 | <p>Expert panel report.</p> <p>Pre-first meeting of expert panel:</p> <p>Synthesis of global gap analyses and information on CGIAR niche (SRF etc).</p> <p>Additional info collected as requested by expert panel.</p> | <p>Expert panel report as annex or stand-alone. Main report to contain short summary of key findings and recommendations. Pros and cons not recommended on options.</p> | DM/JC |
|                          | c) Proposed processes for   | <ul style="list-style-type: none"> <li>• Lessons learned have been generated from previous work</li> </ul>  | Lessons from this and other CRP evaluations.   | Table with Lessons from previous (left)   | DM    |

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| Evaluation question (EQ)   | Proposed bases of judgement  | Issues and (where relevant) indicators  | Proposed information sources  | Proposed evaluation product  | Lead |
|--|--|---|---|--|------|
|  | planning Phase II reflect lessons learned  | <ul style="list-style-type: none"> <li>Proposed processes for planning reflect lessons learned by A4NH and other CRPs in Phase I, and include:                             <ul style="list-style-type: none"> <li>Rationale and gap analysis</li> <li>Consultation</li> <li>Impact pathways</li> <li>Risk analysis</li> </ul> </li> <li>....?</li> </ul>                    | Analysis of ongoing/proposed planning process.  | and implications / notes on plans (right). Probably not official eval recommendation.  |      |
| <b>4.2.2 A4NH work area 2: Improving what the rest of the CGIAR does to attain the Nutrition and Health System Level Outcome</b> |  |   |   |  |      |
| <i>Backward-looking: Were past decisions on A4NH reasonable in terms of SLO and what lessons can be learned?</i>                 | <p>a) Clear rationale for A4NH's role across CGIAR.</p> <p>b) Well-functioning division of roles and responsibilities among Centers on work being done in nutrition and health as reported against nutrition IDO. (also see EQ2)</p> | <p>Clear and documented rationale</p> <p>Evidence of consultation</p> <p>Clear impact pathway/theory of change for any major investments in cross-CGIAR work, used in monitoring and adjusting work</p> <p>- Roles and responsibilities clear and agreed across Centers</p> <p>- Other Centers and CRPs satisfied with the way things are working</p> <p>- See also EQ2</p> | <p>This will draw heavily on EQ2.</p> <p>Evidence from 4.2.1 a</p> <p>Including analysis of lessons from other CGIAR evaluations.</p> <p>Mapping A4NH-related work across CGIAR, highlighting any possible gaps/overlaps/questions. Documentation of agreed divisions of roles etc.</p> <p>Interviews with CRP and Center leads</p> <p>E-survey questions (tbc)</p> | <p>As for 4.2.1 a-c</p> <p>Map of A4NH – related work across CGIAR, summary of issues, views and critique (possibly survey question)</p> | JC   |

**INCEPTION REPORT: INDEPENDENT CRP-COMMISSIONED EXTERNAL EVALUATION OF A4NH**

| Evaluation question (EQ)   | Proposed bases of judgement   | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product                                     | Lead |
|--|---|---|--|---|------|
| <i>Forward-looking:</i>  | See 4.2.1 b)  |   | Expert panel (see 4.2.1 b)   | Handled with 4.2.1 b)   | DM   |
| <b>4.2.3 A4NH work area 3: Improving national and international policy and practice on agriculture, nutrition and health</b> |   |   |  |   |      |
|  | a) Clear rationale for A4NH involvement (or not) in research areas identified as priority for understanding how to make key global policy change in ANH | Proposal and other key documents contain clear rationale for involvement/not in key policy change research areas including <u>Sustainable Development Goals</u>           | As for 4.1.1 a and 4.2.2 a<br><br>Key policy areas id by Stuart Gillespie et al 2013 Lancet and others tbc   | Summary of key issues and evidence                              | JC   |
|  | b) Policy work appropriately planned and resourced across A4NH  | Human and financial resources allocated to policy work<br><br>Appropriate use of capacity development (within A4NH as well as with policy makers and other partners)      | Interviews: project management, policy teams, external people connected with policy<br><br>Document review: A4NH proposal, budgets<br><br>Evidence from project sample (see EQ1 and 2)<br><br>Capdev – see Annex H | ditto   | JC   |
|  | a) Policy work appropriately mainstreamed into all relevant A4NH research   | Research proposals and other documentation for each research project: clearly specifies if policy changes are important in the short term for research objectives or not. | Evidence from project sample (see EQ1 and 2)<br><br>Interviews with project leaders, A4NH leaders and partners   | Table of analysis of research proposal sample, summary findings | JC   |

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| Evaluation question (EQ)   | Proposed bases of judgement                                      | Issues and (where relevant) indicators  | Proposed information sources   | Proposed evaluation product   | Lead |
|--|--|---|--|---|------|
|  |  | For projects categorized as policy-relevant, clear description of:<br>policy objectives and targets<br>partners and roles<br>any cap dev needs and plans<br>policy monitoring   |  |   |      |
| <i>Forward-looking:</i>  | Covered by 4.2.1 b) (Expert panel)                               |   |  | See 4.2.1 b)  |      |
| <b>4.3 Within the CGIAR, has the exclusive focus of A4NH on the Nutrition and Health System Level Outcome ('SLO2') been appropriate? What are the implications for how A4NH should position itself in future with regard to the new Strategic Results Framework?</b> |  |   |  |   |      |
| <i>Backward-looking:</i>   | a) Logical rationale for exclusive focus on SLO2                 | CRP proposals, subsequent revisions and other relevant documents<br>include clear rationale, including consideration of options, how A4NH fits with others' roles and responsibilities for achieving SRF<br>reflect transparent process of consultation | As for 4.2.1 a)  | Box with summary of rationale /commentary and views of key stakeholders |      |
|  | e) Positive and negative effects of the exclusive focus on SLO2. | Extent to which A4NH staff and key partners are clear about the focus on SLO2 and what it means for their own work<br><br>Views of a sample of key internal and external  | Interviews of A4NH managers and staff, in particular project leaders from project samples (see EQ1/2)<br><br>E-survey question | Summary of responses and short comment on pros and cons (no             |      |

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| Evaluation question (EQ) | Proposed bases of judgement                                 | Issues and (where relevant) indicators  | Proposed information sources  | Proposed evaluation product   | Lead |
|--------------------------|---|---|---|---|------|
|                          | d) Clear means of handling any A4NH links to non-focus SLOs | Existence of protocols established for planning and reporting results against other SLOs (or undocumented, but in-practice, processes) - or alternatively an agreement that this is not necessary | Documents as for 4.2.1 a) and interviews and documents from Program Management Unit | Box/bullets summarising protocols and text commentary<br><br>recommendation expected) |      |
| <i>Forward- looking:</i> | Covered by 4.2.1 b) (Expert panel)                          |   |   | See 4.2.1 b)  |      |

*In the interests of brevity, phrases such as “extent to which” “evidence for/that” have been removed from the table except where needed for clarity – e.g. “Extent to which the CRP has led to an increased focus on contributing to impacts at scale” has been shortened to “Focus on contributing to impacts at scale”*

KEY:

BE – Ben Emmens

DM – Diana McLean

JC – Julia Compton

## ANNEX B. EVALUATION TEAM MEMBER/EXPERT PANEL PROFILES

### Core team

#### **Julia Compton, Team leader**

Julia is an independent consultant with a focus on evaluation, food security and nutrition, agriculture and rural development. She studied agricultural science and economics at Reading University, Wye College and Imperial College (London). She has experience in over 20 countries, including in the Ministries of Agriculture of Mozambique and Ghana, and for the UK Natural Resources Institute. She spent ten years in the UK Department for International Development (DFID) initially as an adviser on rural livelihoods and economic growth, and most recently as deputy head of DFID's Evaluation Department. Her recent work includes support to the evaluation units of CGIAR (IEA), FAO and the IAEA, and she also writes and tutors on a distance learning master's program for the University of London, in particular on food security, nutrition and social protection.

#### **Diana McLean, Specialist in research evaluation**

Diana has worked in agriculture and food security programming in developing countries since 1980. As Regional Agronomist for West and Central Africa with USAID, and as a research officer with the International Service for National Agricultural Research (ISNAR), she has designed, monitored and evaluated diverse programs, projects and institutions in agricultural research, research management, extension, irrigation, post-harvest technologies, commodity chains, resettlement and food aid. She has facilitated training in project development, research management and results-based management in Africa and Asia. Recent assignments include team leader of the MOPAN performance assessment of FAO (2014), IEE food security expert for the UN High Level Task Force on Global Food Security Coordination Team (2013), Technical Advisory Committee Member of GAFSP (ongoing), convener of the Canada-CGIAR Linkage Fund; monitor and food security advisor (18 years) of the Ghana Grains Development Project (NARS/CIMMYT/IITA) and the CIDA Ghana Food Security Program. She served six years on the Board of the West Africa Rice Development Association (now Africa Rice Center).

#### **Ben Emmens, Specialist in management, human resources, and partnerships**

Ben is a senior consultant with more than 20 years management and leadership experience. He has particular expertise in human resources management and organization development in the non-profit sector where he has consulted, taught and written on organizational strategy, governance, leadership development, collaboration and partnerships, capacity assessment and development, and a wide range of people management issues. He has worked in more than 35 countries around the world, for well known non profits including UNICEF, UNHCR, the Red Cross, Oxfam, CARE, Save the Children, World Vision, IWMI and World Fish. Ben is currently a Director of the Conscious Project; prior to 2012 he was a Director at People In Aid, a global network of more than 200 INGOs, and prior to 2003 he worked at Save the Children and in the private and public sectors. Ben has a masters (MA) in Personnel & Development (University of Westminster, UK), and a bachelors (BA Hons) in French with Spanish (University of London, Goldsmiths' College). He is a certified member of the Chartered Institute of Personnel and Development, and became a fellow of the Royal Society of Arts in 2013. He is a partnership broker and a member of the Partnership Brokers Association.

#### **Mysbah Balagamwala, Evaluation analyst (assigned by A4NH to the team)**

Mysbah Balagamwala is a Research Analyst for the CGIAR Research Program on Agriculture for Nutrition and Health (A4NH) at the International Food Policy Research Institute (IFPRI). Prior to joining IFPRI she

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was a Research Associate at the Collective for Social Science Research in Karachi, Pakistan where she worked on evaluations and impact assessments of election programs, school feeding initiatives and social protection programs. She has contributed to research for the 'Leveraging Agriculture for Nutrition in South Asia' (LANSA) research consortium and the IDS-Oxfam led 'Life in a Time of Food Price Volatility' project. Mysbah has a Masters in Economics from the University of Warwick.

### Expert panel

#### Bonnie McClafferty

Bonnie McClafferty is the director of agriculture and nutrition at the Global Alliance for Improved Nutrition (GAIN), where she is responsible for overseeing the portfolio of projects that sustainably weave nutrition into food systems. McClafferty is GAIN's lead architect of the Marketplace for Nutritious Foods, a platform that strengthens networks, fosters innovation and provides investment to transform local agriculture into affordable and nutritious foods. Prior to joining GAIN, McClafferty spent 12 years as one of a team of leaders at HarvestPlus, based at the International Food Policy Research Institute, in Washington, D.C. She currently serves as senior program advisor to the Global Agriculture and Food Security program, sits on the Technical Advisory Committee of Helen Keller International and holds several other board positions.

#### Festus Murithi

Festus Murithi is a Kenyan currently working for the Kenya Agricultural and Livestock Research Organization (KALRO) as an Assistant Director in-charge of the Socio-economics and Applied Statistics Research program. He obtained his PhD degree in Agricultural Economics from Reading University-UK in 1998. He coordinates a team of 90 researchers at KALRO in implementing socio-economics and applied statistics research projects. His research interests include assessing the economic viability and social acceptability of research interventions generated by KALRO and partners to ensure they lead to desired people level impacts in terms of food and nutrition security, income generation and environmental sustainability. He is specifically involved in conducting economic analysis of research technologies; priority setting, input-output markets research, adoption and impact assessment of projects analysis and formulation of agricultural policies in relation to improving agricultural productivity and returns to investments in the agricultural sector; and assessing institutional capacity and development issues.

#### Haris Gazdar

Haris Gazdar works as a Director and a Senior Researcher with the Collective for Social Science Research, which is a small independent organization that specializes in research on social policy and political economy issues in Pakistan. He has taught as well as conducted academic research in the UK, India, and Pakistan. Besides his academic and consultancy assignments, he has worked on an honorary basis as adviser to research programmes, government and non-governmental organizations, and political parties. The Collective is part of the six-partner Leveraging Agriculture for Nutrition in South Asia (LANSA) Research Policy Consortium. Haris Gazdar is a principal investigator in a number of LANSA studies, and is a member of the Consortium Steering Group and the Core Management Team.

#### Robert Bos

Robert Bos is a Dutch public health biologist (University of Amsterdam) who completed a 32-year career with the World Health Organization in February 2013; the last four years he was Coordinator of WHO's

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Water, Sanitation, Hygiene and Health Program in the Department of Public Health and Environment. After a first assignment in Costa Rica, in 1983 he started work at WHO HQ/Geneva for the joint WHO/FAO/UNEP Panel of Experts on Environmental Management for Vector Control (PEEM), with the remit to promote environmental management measures to protect health in the context of water resources development by minimizing risks of vector-borne disease transmission (e.g. malaria, filariasis, schistosomiasis). From 1996 the scope of his responsibilities evolved to cover a broader area of work on the human health dimensions of water resources development and management, including capacity building in health impact assessment, health dimensions of IWRM, economic evaluation and burden of disease studies of water interventions for health, and the safe use of wastewater, excreta and greywater in agriculture and aquaculture. He worked extensively with CGIAR institutions: IRRI, IIMI/IWMI, WARDA, ISNAR and IFPRI, on the links between agricultural development, water management, environment and health.

### **Simplice Nouala**

Simplice Nouala has been the Chief Animal production officer at AU-IBAR for 9 years of his almost 30 years' experience; he is in charge of production systems and ecosystems management and policy and institutional capacity development. Through several interactions with research institutions, he is currently active in mainstreaming research findings into the policy making process at regional and continental levels and has led the development of a tool/framework to include livestock priorities into the national and regional agricultural agenda in the framework of the Comprehensive African Agricultural Development Program (CAADP). He is a member of the Guiding Group of the Global Agenda in support of sustainable livestock development; he has a vast experience and knowledge of the animal resources landscape in Africa and has made major contributions to shaping the animal resources development agenda on the continent. He holds a PhD from the University of Hohenheim, Stuttgart-Germany and a specialization in tropical animal health and production from the Institute of Tropical Medicine in Antwerp, Belgium.

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| ANNEX C. PROPOSED WORK PLAN                |                          |     |     |                       |     |     |     |     |     |     |  |
|--|--------------------------|-----|-----|-----------------------|-----|-----|-----|-----|-----|-----|--|
| Task                                       | Responsibility           | Jan | Feb | Mar                   | Apr | May | Jun | Jul | Aug | Sep |  |
| <b>Inception Report</b>                    | Evaluation team (JC/all) |     |     |                       |     |     |     |     |     |     |  |
| Document Review                            | Evaluation team (all)    |     |     |                       |     |     |     |     |     |     |  |
| Portfolio review                           | Evaluation team (JC)     |     |     |                       |     |     |     |     |     |     |  |
| Mini staff survey                          | Evaluation team (JC)     |     |     | Analysis and feedback |     |     |     |     |     |     |  |
| <b>Self-evaluation exercise (managers)</b> | A4NH (JC/NJ)             |     |     |                       |     |     |     |     |     |     |  |
| Project analysis/interviews (IFPRI)        | Evaluation team (DM/MB)  |     |     |                       |     |     |     |     |     |     |  |
| Document analysis for expert panel         | Evaluation team (JC/MB)  |     |     |                       |     |     |     |     |     |     |  |
| Expert Panel 1st virtual meeting           | Evaluation team (DM/JC)  |     |     |                       |     |     |     |     |     |     |  |
| <b>Staff and partner minisurveys</b>       | Evaluation team (JC)     |     |     |                       |     |     |     |     |     |     |  |
| Interviews                                 | Evaluation team (all)    |     |     |                       |     |     |     |     |     |     |  |

|                   |
|-------------------|
| <b>KEY</b>        |
| report circulated |
| survey circulated |
| activity          |

INCEPTION REPORT: INDEPENDENT CRP-COMMISSIONED EXTERNAL EVALUATION OF A4NH

| Task  | Responsibility           | Jan | Feb         | Mar                                 | Apr              | May                       | Jun                        | Jul | Aug | Sep |
|---|--------------------------|-----|-------------|-------------------------------------|------------------|---------------------------|----------------------------|-----|-----|-----|
| Observation of key A4NH meetings                        | Evaluation team          |     | London (JC) | Washington DC (DM)<br>Dhaka (DM/JC) |                  |                           |                            |     |     |     |
| <b>Self-evaluation exercise (managers/focal points)</b> | A4NH (NJ)                |     |             | Dhaka meeting                       |                  |                           |                            |     |     |     |
| Country visits  | Evaluation team (all)    |     |             | India & Bangladesh (DM/JC)          | Kenya (DM/JC/BE) |                           |                            |     |     |     |
| Expert Panel 2nd meeting face to face                   | Evaluation team (DM/JC)  |     |             |                                     |                  | Early May<br>Location tbc |                            |     |     |     |
| <b>Expert panel: draft report of findings</b>           | Evaluation team (DM/JC)  |     |             |                                     |                  |                           |                            |     |     |     |
| Data analysis   | Evaluation team (all)    |     |             |                                     |                  |                           |                            |     |     |     |
| Presentation of preliminary findings                    | Evaluation team (JC)     |     |             |                                     |                  |                           | Early June<br>Location tbc |     |     |     |
| <b>Draft main report</b>                                | Evaluation team (JC/all) |     |             |                                     |                  |                           |                            |     |     |     |
| Circulation and comments on draft                       | A4NH (NJ)                |     |             |                                     |                  |                           |                            |     |     |     |

**INCEPTION REPORT: INDEPENDENT CRP-COMMISSIONED EXTERNAL EVALUATION OF A4NH**

| Task                                  | Responsibility           | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep |
|---------------------------------------|--------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| <b>Final report</b>                   | Evaluation team (JC/all) |     |     |     |     |     |     |     |     |     |
| Management response                   | A4NH (PMC/PMU)           |     |     |     |     |     |     |     |     |     |
| Dissemination                         | A4NH (NJ)                |     |     |     |     |     |     |     |     |     |
| <b>Pre-proposals due for new CRPs</b> | A4NH (PMC/PMU)           |     |     |     |     |     |     |     |     |     |

KEY:

BE – Ben Emmens

DM – Diana McLean

JC – Julia Compton

NJ – Nancy Johnson

**ANNEX D. LIST OF PEOPLE CONSULTED IN INCEPTION PHASE**

Note: Insofar as possible people have been categorised below by their primary role in relation to this evaluation, but many people have several roles and responsibilities. All meetings by Team Leader (who started work earlier than rest of team) unless otherwise noted in final column of table. PMC – Program Management Committee

| Name  | Job title(s)   | Individually in person | Individually Phone/Skype | Face to face in group meeting | Skype group meeting |
|---|--|------------------------|--------------------------|-------------------------------|---------------------|
| <b>A4NH leaders and senior staff on A4NH –funded programmes</b> |  |                        |                          |                               |                     |
| John McDermott  | Director – A4NH; on PMC  | X                      | X                        | X                             | X                   |
| Marie Ruel  | Division Director – Poverty Health and Nutrition IFPRI; A4NH Flagship Leader for Integrated Agriculture, Nutrition and Health Programs and Policies (IPP) ; on PMC | X                      |                          | X                             |                     |
| Howarth Bouis   | Program Director – Harvest Plus; A4NH Flagship leader for Biofortification ; on PMC  | X                      |                          |                               |                     |
| Alan de Brauw   | Senior Research Fellow, IFPRI; A4NH Flagship Leader for Value Chains for Enhanced Nutrition; on PMC  |                        |                          | X                             |                     |
| Delia Grace   | Program Manager ILRI; A4NH Focal Point in ILRI; A4NH Flagship Leader for Prevention and Control of Agriculture-Associated Diseases; on PMC                         |                        | X                        | X                             |                     |
| Amanda Wyatt  | Program Manager – A4NH   | X                      | X                        | X                             |                     |
| Gina Kennedy  | Theme Leader, Diet Diversity for Nutrition and Health, Bioversity; Research leader of Nutrition-sensitive landscapes; A4NH focal point in Bioversity; on PMC       | X                      |                          | X                             |                     |
| Stuart Gillespie  | Senior Research Fellow, IFPRI  |                        | X                        |                               |                     |
| James Garrett   | Senior Research Fellow, IFPRI and Nutrition Advisor, seconded to IFAD (Rome)   | X                      |                          |                               |                     |
| Catherine Gee   | Operations Coordinator, IFPRI (working with LANSA and TN)  |                        | X                        |                               |                     |

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| Name  | Job title(s)  | Individually in person | Individually Phone/Skype | Face to face in group meeting | Skype group meeting |
|---|---|------------------------|--------------------------|-------------------------------|---------------------|
| <b>Centers / other CRPs working with A4NH</b>                                 |   |                        |                          |                               |                     |
| Shenggen Fan  | Director General, IFPRI; on IAC   | X                      |                          | X                             |                     |
| Rajul Pandya Lorch  | Head 2020 Vision Initiative and Chief of Staff, IFPRI   |                        | X                        | X                             |                     |
| Kwesi Atta-Krah   | Director, Humid Tropics CRP   | X                      |                          |                               |                     |
| Stephan Weise   | Deputy Director General for Research, Bioversity  | X                      |                          |                               |                     |
| Carlos Sere   | Senior Advisor on Strategic Partnerships and Global Initiatives, Bioversity   | X                      |                          |                               |                     |
| Ylva Hillbur  | Deputy Director General for Research, ILTA; on IAC  |                        |                          | X                             |                     |
| Patrick Dugan   | Deputy Director General, WorldFish; Director Aquatic Agricultural Systems CRP   |                        | X                        |                               |                     |
| Jimmy Smith<br>Thomas Randolph;<br>Bernard Bett; Shirley Tarawali, Eric Fevre | Director General, ILRI; Director Livestock and Fish CRP; Senior Scientist, ILRI; Assistant Director General, Institutional Planning and Partnerships, ILRI and Professor of Veterinary Infectious Diseases, University of Liverpool |                        |                          |                               | X (JC/DM)           |
| Leonard Oruko   | Research Coordinator, Markets Trade and Institutions Division, IFPRI  | X                      |                          |                               |                     |
| <b>CGIAR Central Institutions and Programs</b>                                |   |                        |                          |                               |                     |
| Frank Rijsbersman and Wayne Powell  | Chief Executive Officer and Chief Science Officer, CGIAR Consortium   |                        | X                        |                               |                     |
| Margaret Gill   | Chair, CGIAR Independent Science and Partnership Council  |                        | X                        |                               |                     |
| Jonathan Wadsworth  | Executive Secretary of the CGIAR Fund Council and Head of Fund Office   |                        | X                        |                               |                     |
| Rachel Bedouin  | Head of Independent Evaluation Arrangement  |                        | X                        |                               |                     |
| Javier Ekboir and Christina Sette   | Coordinator and Knowledge Sharing and Learning Specialist, Institutional Learning and Change Initiative, Bioversity   |                        |                          |                               | X (JC/BE/DM)        |

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| Name  | Job title(s)   | Individually in person | Individually Phone/Skype | Face to face in group meeting | Skype group meeting |
|---|--|------------------------|--------------------------|-------------------------------|---------------------|
| <b>Funding agencies</b>                               |  |                        |                          |                               |                     |
| Laura Birx and Shelly Sundberg                        | Agriculture-Nutrition Program Officer and Program Officer Nutrition Team, Bill & Melinda Gates Foundation                  |                        |                          |                               | X                   |
| Maura Mack and Ahmed Kablan                           | Health Development Officer and International Nutrition and Public Health Research Adviser, Feed the Future, USAID          |                        | X                        |                               |                     |
| Mellissa Wood   | Director, Australian International Food Security Research Centre, Australian Centre for International Agriculture Research |                        | X                        |                               |                     |
| Merle Faminow   | Program Manager – Agriculture and Food Security Program, IDRC  |                        | X                        |                               |                     |
| Rachel Lambert  | Senior Livelihoods Adviser, Agriculture Research, DFID   |                        | X                        |                               |                     |
| David Radcliffe                                       | Senior Advisor for Agricultural Research for Development, DG Development and Cooperation, European Commission              |                        | X                        |                               |                     |
| <b>Institutions/key people working in same area</b>   |  |                        |                          |                               |                     |
| Tom Arnold  | Coordinator of Scaling Up Nutrition (SUN) movement   |                        | X                        |                               |                     |
| Mat Cousins   | Head of SUN Secretariat  |                        | X                        |                               |                     |
| Iain MacGillivray                                     | Special Advisor to the President, International Fund for Agricultural Development  | X                      |                          |                               |                     |
| Anna Herforth   | Independent Consultant, Global Food Security and Nutrition/ Facilitator of <a href="#">UNSCN Ag2Nut</a>                    |                        | X                        |                               |                     |
|   |  |                        |                          |                               |                     |
| <b>Advice on evaluation approaches / data sharing</b> |  |                        |                          |                               |                     |
| Chris Gerrard   | Team Leader, Evaluation of Policies, Institutions and Markets (PIM) CRP  | X                      | X                        |                               |                     |
| Brian Perry   | Team Leader, Evaluation of Livestock and Fish CRP  |                        | X                        |                               |                     |

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| Name   | Job title(s)  | Individually in person | Individually Phone/Skype | Face to face in group meeting | Skype group meeting |
|--|---|------------------------|--------------------------|-------------------------------|---------------------|
| Sanjeev Sridharan  | Team Leader, CRP (A4NH)-Commissioned External Evaluation on Food Safety                                 | X                      |                          |                               |                     |
| Andrew Orlin   | Management consultant; ex- head of internal audit, CGIAR  | X                      |                          |                               |                     |
| Suresh Babu  | Head of Capacity Strengthening, IFPRI   |                        | X (JC, BE)               |                               |                     |
| Iddo Dror  | Head of Capacity Development, ILRI and Coordinator of Capacity Development Community of Practice, CGIAR |                        | X (JC, BE)               |                               |                     |
| Hazel Malapit ,<br>Agnes Quisumbing,<br>Sophie Theis, Amy Saltzman | CGIAR Gender and Nutrition Network  |                        |                          | (X)                           |                     |

**MEETINGS OBSERVED (with some participants met informally)**

| Title  | Date   | Participants  |
|--|--------|---|
| Program Management Committee (PMC) (to agree evaluation questions) | Sep 14 | Facilitator: <a href="#">Juergen Hagmann</a><br>Evaluation Manager: Nancy Johnson<br>PMC: John McDermott, Marie Ruel, Delia Grace, Alan de Brauw, <a href="#">Jeff Waage</a> (by phone) Gina Kennedy (by phone)<br>(Click names for more information on external members.)  |
| Independent Advisory Committee IAC                                 | Oct 14 | Chairs: <b><a href="#">Robert Paarlberg</a></b> and <b><a href="#">S. Mahendra Dev</a></b><br>Participants: <b><a href="#">Mary Amuyunzu-Nyamongo</a></b> , <b><a href="#">Jeroen A. Bordewijk</a></b> , <b><a href="#">Inge D. Brouwer</a></b> , <b><a href="#">Mahabub Hossain</a></b> , <b><a href="#">Joyce Kinabo</a></b> , <b><a href="#">Emmy Simmons</a></b> , <b>Shenggen Fan (ex-officio)</b> ; Ylva Hillbur<br>(Click names for more information on external IAC members.) |
| A4NH donor meeting (by phone)                                      | Oct 14 | Participants: A4NH Director and Research leaders; BMGF (Laura Birx, see above); DFID (Rachel Lambert, see above), IDRC (Greg Hallen Program Leader and Annie Wesley, Senior Program Specialist) ; USAID (Ahmed Kablan, see above)   |
| CGIAR Gender-nutrition network meeting                             | Dec 14 | 42 participants, listed in <a href="#">summary report</a>   |