

TERMS OF REFERENCE

for the Evaluation of the
CGIAR Research Program on
Climate Change, Agriculture and Food Security
(CCAFS)



Independent
Evaluation
Arrangement

DEC 2014

1. Background

1.1. Rationale and context

Research in the CGIAR is guided by the Strategy and Results Framework (SRF), which sets forth the System's common goals in terms of development impact (System-Level Outcomes [SLOs])¹, strategic objectives and results—in terms of both outputs and outcomes. The SRF was approved in 2011, and is being revised with an update due in the first half of 2015. The CGIAR's research agenda is implemented by the CGIAR Centers and their partners through multi-partner CGIAR Research Programs (CRPs), of which there are currently 15. Each CRP is funded both through a pooled funding mechanism in the Fund² and through bilateral funding directly to the Centers. A set of common Intermediate Development Outcomes (IDOs) links CRP-level targets to CGIAR-level goals for impact (the SLOs), framing the operational results framework of each CRP within the System as a whole.

In the CGIAR, the Independent Evaluation Arrangement (IEA) is responsible for System-level external evaluations. IEA's principal mandate is to lead the implementation of the CGIAR Policy for Independent External Evaluations³ through the conduct of strategic evaluations of CRPs and of other institutional elements of the CGIAR. IEA is also charged with developing a coordinated, harmonized and cost-effective evaluation system in the CGIAR. IEA's first four-year Rolling Evaluation Work Plan 2014-17, approved in November 2013 by the Fund Council, foresaw the evaluation of 10 CRPs between 2013 and 2015.

One of the CRPs to be evaluated in 2014-15 is the CRP on Climate Change, Agriculture and Food Security (CCAFS), which has its origins as a CGIAR Challenge Program (CP).

¹ The System-Level Outcomes are: reduction of poverty; improved food security; increased nutrition and health; and more sustainable management of natural resources.

² The CGIAR Fund is a multi-donor, multi-year funding mechanism that provides funding to (i) CRPs through two "Windows"; Window 1 across CRPs as per Consortium decision and Window 2 to donor-specified CRP; and to (ii) donor-specified Centers through Window 3.

³ http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR_evaluation_policy_jan2012.pdf

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1.2. Overview

Program design and approach

The CP preceding CCAFS CRP was launched in 2009 for a ten-year period. It started as a collaborative endeavour between the international agricultural (CGIAR) and global environmental change (ESSP) research communities, and their respective partners. The CCAFS CRP proposal was fast-tracked and approved in 2011 as one of the first CRPs to be launched. The Program aims to address the increasing challenge of global warming and declining food security on agricultural practices, policies and measures. The program is implemented in strategic collaboration between CGIAR and Future Earth, which is the umbrella organisation established to lead global science initiatives on planetary change, including climate modelling, land cover change, earth system governance and greenhouse gas emissions.

The CCAFS goal is to promote a food-secure world through the provision of science-based efforts that support sustainable agriculture and enhance livelihoods while adapting to climate change and conserving natural resources and environmental services. In its theory of change emphasis is put on strategic partnerships, capacity building, communication, open access data, real time monitoring and evaluation and a strong focus on gender.

Evolution of CCAFS design

From a design around four Themes (1. Adaptation to progressive climate change; 2. Adaptation through managing climate risk; 3. Pro-poor climate change mitigation; 4. Integration for decision making), the CCAFS is evolving to focus on four Flagships defined in its 2015-16 extension proposal:

1. Climate smart agricultural practices
2. Climate information services and climate-informed safety nets
3. Low-emissions agricultural development
4. Policies and institutions for climate-resilient food systems

CCAFS targets five Intermediate Development Outcomes (IDOs) on food security, gender and social differentiation, adaptive capacity, policies and institutions, and mitigation. Each Flaship contributes to several IDOs with delivery target on specific ones through regional impact pathways. CCAFS operations are guided by the CCAFS Strategy for Priority Setting, Monitoring and Evaluation.

CCAFS targets five regions which all have different research priorities and types of activities: West Africa, East Africa, South Asia, Latin America and South East Asia. In the last mentioned full capacity will only be reached in 2015 since the Regional Program Leader was recruited later.

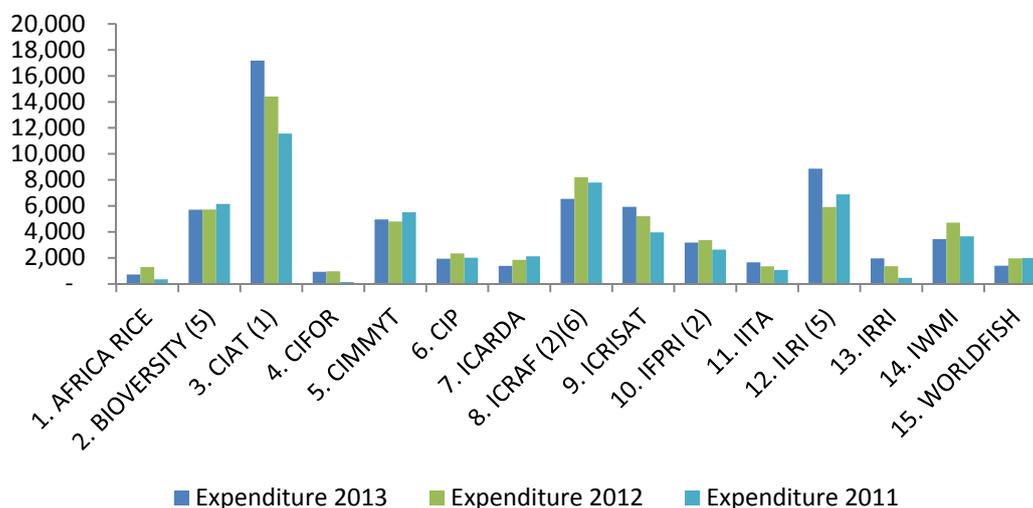
Budget and expenditure

With an annual budget of USD 69.8 million (in 2012) CCAFS is one of the large CRPs. It has the largest Window 1/2 funding as proportion of total funding (in 2012 about 74%). In the approved proposal, the CRP presented a budget for five years of Phase 1 (2011-2015). The budget was expected to increase from USD 71.1 million in 2012 to 90.3 million in 2015, with Window 1/2 funding increasing to about 90% of total annual funding. In actual finance for 2011-13, 64 % of total expenditure has been funded from Windows 1 and 2.

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Until the end of 2013, CCAFS spent USD 185.5 million over three years. The expenditure rose from USD 56.3 million in 2011 to USD 63.5 million in 2012 to USD 65.8 million in 2013. The distribution of expenditures among the different CGIAR centers is Figure 1.

Figure 1. CCAFS expenditure in 2011-2013 by participating center



The expenditure has been highest in the Research Theme 1 on Adaptation to Progressive Climate Change (around 30%) and then relatively even among the other three Research Themes. Gender is treated as a cross-cutting theme that had expenditure of USD 5.4 million in 2013. In 2013, the expenditure for CCAFS Management and Coordination was USD 4.9 million (this includes global engagement, synthesis, capacity strengthening, communications and 15% indirect cost on those budget items).

The CRP Management and Coordination Budget is higher than that for other CRPs. It includes a flat rate of USD 1.7 million for CIAT management in 2013, and as indicated above various global coordination functions. The CIAT Management fee has been reduced to 1.1 Million from 2014 onwards.

The CCAFS Business Plan and Budget 2014 has assumed a conservative Window 1, 2 & 3 budget of USD 44.5 million. The total expenditure is expected to be around USD 68 million, of which USD 3.2 million are for Coordination and USD 1.1 million for CIAT management. It also includes a budget of USD 3.8 million for the Flagship 4 for piloting (as one of several CRPs) performance-based management (PBM) which will be part of the next phase of CCAFS.

In the 2014 budget, 73% of the total budget goes to Center Activity Plans, 10% to Theme Leaders, 10% to Regional Program Leaders and 7% to Coordination and Management (this includes global engagement, synthesis and capacity strengthening activities).

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Governance and management

Due to its history, the CCAFS has had an independent governing body from the start of the CP. The CRP's management arrangements were based on lessons learnt from the implementation of the CPs.⁴ At the time of developing CCAFS as a CRP, CIAT, among several interested Centers, was selected by the CP Steering Committee as the lead Center. The CRP involves participation of all the CGIAR Centers. However, for the extension period 2015-16, the involvement of Centers in the different Flagships and regions will be decided in late 2014, based on past performance.

The main oversight body of CCAFS is the Independent Scientific Panel (ISP; with both scientific and development expertise). The Program Leader is based at the University of Copenhagen and the small Coordinating Unit in Copenhagen and at CIAT. The CRP has a Program Management Committee. Theme leaders and Regional Program Leaders are responsible for aspects of CCAFS implementation. In addition, there are CGIAR Climate Change Contact Points at each CGIAR Center to facilitate linkages with Centers and other CRPs.

In 2014, CCAFS joined as one of several CRPs to pilot performance-based management (PBM) and this work is embedded in Flagship 4.

2. Evaluation Focus

2.1. Evaluation purpose and clients

The primary purpose of this evaluation is to enhance the contribution that CCAFS is likely to make towards reaching the CGIAR goals and towards reducing poverty and improving food security under changing climatic conditions including rising temperatures, increasing occurrence of drought and extreme weather events and changing agroecologies.

As for all CRP evaluations, the purpose of the evaluation of CCAFS is to provide essential evaluative information for decision-making by Program management and funders on issues such as extension, expansion and structuring of the program and adjustments in some aspects of the program.

In November 2013, the Fund Council of the CGIAR agreed that all current CRPs should undergo some form of evaluation before the call for the second round of CRPs and full proposal development is initiated. In that context, the evaluation of CCAFS will provide information for decisions on the program formulation and selection in the 2nd funding call in 2016. Taking into account the stage of the program and given its nature and timelines for results, the evaluation aims to provide an overview and critical analysis of the relevance of the program and its achievements to date and progress towards their achievement.

⁴ "a governance body that is composed of independent individuals with no institutional connection to consortium members or CP partners appears to have more advantages and higher potential for effective and efficient performance. However, it should also take into account the need for support provided by a host institution as a legally constituted entity. Programmatic decisions should be left entirely to the CP's steering committee." CGIAR Science Council and CGIAR Secretariat, 2007.

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The evaluation provides both accountability — re-enforcing the principle of mutual accountability and responsibility among program, donors and partners — and learning among the CRP and its stakeholders for improving program relevance and efficiency and the likelihood of sustainable results. It will look at the extent to which CCAFS within its mandate is responding to the key aspirations underlying the CGIAR reform related to vision and focus, delivery orientation, synergy through efficient partnerships and accountability.

The main stakeholders of this evaluation are the management of CCAFS, the participating CGIAR Centers, partners associated with the Program, the Consortium Board and the CGIAR Fund Council.

Stakeholders (Table 1) will be consulted throughout the evaluation through structured interviews, surveys, site visits, and reference group for some of them.

Table 1. CRP evaluation stakeholders

Type of stakeholder	Role in CRP	Interest in evaluation
CRP level		
CRP management	Management of CRP	Lessons learned to increase performance of CRP
CRP Independent Science Panel	Oversight of CRP Strategic advice for CRP	Accountability CRP performance Lessons learned about effectiveness of the bodies involved in governance
CRP Researchers	Carry out research in line with CRP IDOs	Research performance
Center level		
Lead center management	Management of CRP	Organizational performance Comparative advantage
Lead center board	Fiduciary responsibility Oversight of the CRP	Organizational performance Comparative advantage
Boards and management of participating centers	Oversight of CRP activities carried out by its center	Organizational performance Comparative advantage
CGIAR level		
CGIAR Fund Council	Oversight on use of funds for CRP	Accountability CRP performance Decision making for resource allocation
Donors of bilateral projects	Funding source	Accountability CRP performance Decision making for resource allocation
CGIAR Consortium	Integrating CRP research with other CRPs, strategic alignment of CRPs, coordinating between CRPs	Lessons learned to increase the effectiveness and relevance of the work of the CGIAR; Lessons learned to increase the efficiency and accountability of the CGIAR.
Partners		
Research partners	participate in the design and conduct of CRP research	Research Performance Collaboration mechanisms, Capacity development
Development and Boundary Partners	targeted stakeholders for implementing change	Relevance of CRP and its research, Research Performance, Collaboration mechanisms, Capacity development

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Type of stakeholder	Role in CRP	Interest in evaluation
Beneficiaries; e.g. farmers and policy-makers	targeted beneficiaries for development oriented research	Relevance, effectiveness and impact of CRP and its research

2.2. Evaluation scope

The evaluation will cover all research activities of CCAFS and related processes, thus including activities funded by Window 1 and 2 as well as activities funded from Window 3 and bilateral sources. In the new CGIAR framework, CCAFS takes an approach with a strong emphasis on collaboration outside the CGIAR, communication and advocacy. Therefore in assessing CRP performance, particular emphasis will be given to the balance of research and other activities from the perspective of likely effectiveness.

Since CCAFS was established its components or the program as a whole have been subject to external reviews which will provide important inputs to this evaluation. The methods, analyses and findings of these evaluations will be carefully considered and if found adequate this evaluation will draw on their findings rather than conduct in-depth analysis on the topics already covered.

The CRP commissioned Governance and Management Review (2013) assessed the governance and management structures, monitoring and evaluation and financial management of CCAFS. The IEA also conducted a Review of CRP Governance and Management (2013) which covered all 16 Research Programs. The area of CCAFS governance and management is therefore well covered and will not require substantial new data collection and analysis.

The Review of CCAFS commissioned by EC/IFAD (2013) focused on processes and tools of the whole program. It was a 'light' review (conducted in August/September 2012), with focus on the West African region. The CRP Commissioned External Evaluation (CCEE) on "Managing the CCAFS Theme by Region matrix for international public goods and development outcomes" was undertaken at the end of 2013 to assess how the CCAFS Theme by Region matrix is being managed to deliver international public goods and development outcomes. CCAFS is also in process of conducting a CCEE on "Pro-poor Climate Change Mitigation" to be completed within 2014. Furthermore, internal audit is currently conducted, which will be providing inputs particularly to the governance and management analysis and organizational performance assessment.

This evaluation will be both summative and formative. The dimension of the evaluation that will cover past research is **summative** and will determine the extent to which results at outcome and impact level have been achieved since activities begun as a CP, look at results emerging from the current program. The **formative** component will focus on the design, implementation and performance of the CRP since 2011 and its likely effectiveness. The evaluation will also look at the extent to which lessons from past research and experiences regarding results have been taken into account in the current program design and implementation.

The evaluation is being undertaken at a time when the CRP is adjusting the design of its program in accordance of guidance from the CGIAR Consortium Office and within the context of the SRF. Since its initiation, the CRP has evolved as is evident in the extension proposal for 2015-16. The evaluation

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will look at the program evolution including the development of theories and impact pathways for the key components of the CRP, IDOs and indicators for progress and results in the short- and medium-term.

The evaluation will not only examine the quality and relevance of CRP research itself but its institutional context and relation to other CRPs. Assessment will be done on the linkages of CCAFS with other CRPs that focus on technologies, policies and processes that need to respond to climate-related challenges. This will include examining the effectiveness and efficiency of the institutional structure and management systems of the CRP, the extent to which it incentivizes among scientists and partners high quality research oriented towards tangible outcomes and the efficiency of integration upon which the CCAFS result depend on.

The strategic issues and evaluation questions are structured around two dimensions: Research/programmatic performance and organizational performance. The Evaluation Team is tasked to refine and prioritize them during the inception phase, in consultation with relevant stakeholders.

Research/programmatic performance

The CCAFS evaluation will have its focus on two time frames:

- the results – outputs, outcomes and impacts – generated from research primarily prior to establishment of the CRP and filling the results pipeline also into the future for some time; and
- the period during which CCAFS has been set up as a CRP with newly defined program structure, targets and impact pathways.

As part of programmatic performance, the evaluation will look at **quality of science**, both in terms of what can be expected from a leading international research program and as a prerequisite for effectiveness. It will look at factors in the program design and implementation that determine the **relevance** of CCAFS within the CGIAR strategic framework and in the context of research opportunities and beneficiary needs. It will look at the CRP's likely **effectiveness**, as characterized by the logic and analytical rigor of CCAFS's impact pathways, including the plausibility of linkages between outputs and outcomes (first to the IDOs, then beyond, toward the SLOs), as well as the nature of the process to develop this theory of change. This criterion of the evaluation will also examine CCAFS's assumptions, especially those that relate to external factors crucial for the planned outcomes and impact. It will look at the validity of the assumptions underlying the program impact pathways and theory of change—and the research hypotheses related to those assumptions.

The evaluation will examine the extent to which CCAFS addresses the challenges of linking research outputs to development outcomes—and of scaling out promising results for greater **impact** and **sustainability**. It will also assess the nature and magnitude of impact from past research, with particular relevance to the current program.

The evaluation will give emphasis to three cross-cutting topics particularly as they pertain to programmatic performance: **gender**, **capacity-building** and **partnerships**. Specific evaluation questions will address these cross-cutting topics.

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The evaluation will assess CCAFS's gender strategy and the adequacy of its funding and implementations, particularly in terms of integrating gender in research design and targeting (theories of change and impact pathways), strategic research on gender and gender aspects across the research portfolio.

Integration of capacity building needs assessment and funding into program design and research activities will be assessed, particularly regarding assumptions and risks in the impact pathways related to capacity; sustainability of research results and outcomes; equity among gender; and the comparative advantage of the CRP.

Given that CCAFS is the CRP with the largest number of participating CGIAR centers, the evaluation will particularly consider the partnerships among the 15 implementing centers and the implications on program management and governance. Furthermore the strategic partnership of CCAFS and Future Earth, a global research platform will be assessed. The evaluation will assess the strategic relevance and management of partnerships for efficiency and effectiveness of generating results and achieving program objectives.

Organizational performance

The evaluation of organizational performance will primarily pertain to aspects of efficiency and effectiveness with focus on CRP design, structure and processes from the organizational and management point of view. The evaluation will draw from recent reviews of governance and management, including that of CCAFS itself and of CRPs across. To the extent necessary, the findings of these reviews will be validated but the areas already covered will not be duplicated. Areas of emphasis may include those not covered in the other governance and management reviews, such as research management system and efficiency, partnership management and transaction costs; the monitoring and evaluation framework, resource allocation and fund distribution between institutions and program components, and alignment of different funding with program objectives; adherence to legal arrangements, including System-level obligations; and organizational learning for improving likely efficiency and effectiveness.

3. Evaluation criteria and questions

The CCAFS evaluation will address the six evaluation criteria; relevance, efficiency, quality of science, effectiveness, impact and sustainability through a set of evaluation questions. A tentative list of evaluation questions is given below. These will be prioritized, refined and further elaborated during the inception phase by the Evaluation Team in consultation with relevant stakeholders. Furthermore, during the inception phase the team will identify emerging issues and confirm the overarching questions that will help focus the evaluation questions related to specific criteria.

3.1. Overarching questions

A preliminary set of overarching questions that cut across the evaluation criteria are presented below.

- Is the programmatic approach clearly defined in the sum of components from 15 participating Centers and other key partners in Future Earth that constitute the program?

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- Is the CRP research addressing the most pertinent issues for being influential over diverse research agendas for steering them towards more climate change aware and relevant direction?
- Is the CRP addressing temporal and spatial scale issues effectively for impacting on sustainable changes in agricultural practices and policies?
- Are the research hypothesis and assumptions rigorously tested given that the research is targeting long-term changes, particularly in climate change mitigation?
- Do the research partners have comparative advantage and requisite competences in the climate change research that CCAFS engages in?

3.2. Research/Programmatic performance

Relevance

Coherence

- Is the CCAFS CRP strategically coherent and consistent with the main goals and System Level Outcomes presented in the CGIAR's Strategy and Results Framework?
- Are the CRP Flagship Projects strategically rational and coherent as a set?
- Is funding from Windows 1 and 2 used strategically in key areas of the program, and to align bilateral projects within program strategy?

Comparative advantage

- How strategically is CCAFS positioning itself, considering both the CGIAR's mandate of delivering international public goods and obligation towards outcomes—relative to other international initiatives/research efforts, including the private sector; partner country research institutions; and development agencies?
- Is the balance between research, communication and advocacy appropriate?
- Is the CRP's role clearly defined relative to that of the boundary partners?

Program design

- Does the program target an appropriate set of Intermediate Development Outcomes (IDOs) and are the activities of highest priority for targeting the IDOs?
- Do the impact pathways logically link the principal clusters of activities to the IDOs and are the IDOs linked to the SLOs through plausible theories that take into account trade-offs between multiple objectives?
- Have the CRP research activities been adequately prioritized, in line with resource availability?
- Have gender issues and capacity-building activities been adequately incorporated in program design and targeting?

Quality of science

- Do the research design, problem setting and choice of approaches reflect high quality in scientific thinking, state-of-the-art knowledge and novelty in all areas of research?
- Is it evident that the program builds on and learns from previous research results?
- Are the internal processes and conditions, including research staff and leadership quality, adequate for assuring science quality?

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- Are the research outputs, such as publications, of high quality?

Likely effectiveness

- Has CCAFS stayed on track in terms of progress and milestones toward outputs, and along the impact pathway toward outcomes?
- Is the monitoring system used effectively for adjusting the program on basis of lessons learned?
- Have constraints to outcomes and impacts been considered in the program design, for example through assessment of the assumptions and risks in reliance on policies, actions of national institutions, capacity and partnerships?
- Has gender been adequately considered in CCAFS impact pathway analysis and implementation, understanding the differential roles of women and men along the impact pathway, generating equitable benefits for both women and men, and enhancing the overall likelihood of enhancing the livelihoods of women?
- Does CCAFS engage with appropriate partners, given their roles in implementation and achieving the objectives of the program?

Impact and sustainability

- Have there been sufficient efforts to document emerging influence and outcomes across the research portfolio since start of the program as a CP?
- What can be concluded from the findings of *ex post* studies, for instance about influence, scaling, sustainability of change and equity of benefits?
- Have adequate constraint analyses and lessons from *ex post* studies informed program design for enhancing the likelihood of impact?
- What are the prospects for sustaining financing, for example, for long-term research programs and key partnerships?

3.3. Organizational performance

Governance and management

- Do the governance and management arrangements and functions conform to the program partnership requirements of independence, accountability, transparency, legitimacy and fairness?
- Are the CCAFS institutional arrangements and management and governance mechanisms efficient?
- Does CCAFS research management provide effective leadership, culture and ethos for advancing the program's objectives?
- To what extent do the reformed CGIAR organizational structures and processes increase (or decrease) efficiency and successful program implementation?
- Is the level of collaboration and coordination among CRP partners and with other CRPs appropriate and efficient for reaching maximum synergies and enhancing partner capacity?
- Is CCAFS management using a monitoring and evaluation system efficiently for recording and enhancing CRP processes, progress, and achievements?

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4. Evaluation approach and methodology

4.1. Approach and methodology

The summative part of the evaluation will draw, to the extent possible, on existing studies and evaluative information and data on results, outcomes and impact. This approach will be complemented by other means such gathering perception information during site visits and stakeholder interviews. The summative part covers past research by since CCAFS was initiated as a CP and since start of the CRP CCAFS for outputs and outcomes.

The forward-looking component will review inter alia, program design and processes, progress made so far towards results, gender mainstreaming, partnership management as well as other innovative modalities of work introduced with the Reform. Approaches will be selected that use, for instance, benchmarking with other comparable programs, lessons and good practices in research and management established elsewhere, and information from primary contacts.

The evaluation process will be consultative; ensuring that in developing findings, conclusions and recommendations there is wide-ranging consultation among stakeholders for capturing a broadly representative range of viewpoints. The evaluation team should ensure that the findings are informed by evidence. This implies that all perceptions, hypotheses and assertions obtained in interviews will be validated through secondary filtering, cross checks by a triangulation of sources, methods, data, and theories. The main phases of the evaluation are described below.

4.2. Evaluation Phases

Preparatory phase

During the Preparatory Phase the IEA, in consultation with relevant stakeholder, will review key documents, carry out a preliminary mapping of the CRP activities, and define the scope and issues surrounding the evaluation.

The IEA will carry out the following tasks:

- Set up a Reference Group for the evaluation (in collaboration with CCAFS management)
- Finalize the Terms of Reference (considering inputs from Reference Group)
- Compile information on research projects under CCAFS and existing evaluation material and other key documents pertaining to CCAFS. The CCAFS Website will be used as much as possible.
- Select the evaluation team leader and in consultation with her/him, the evaluation team and contract all team members.

Inception phase

The inception phase is the responsibility of the Evaluation Team with support from the IEA. The evaluation's scope, focus, approaches and methods, and the evaluation questions in detail will be defined during the inception phase. The tasks during the inception phase include:

- Review and synthesis of monitoring information pertaining to CCAFS that form basis evaluation plan as presented in the inception report, including: (i) information derived from

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the CRP's monitoring and evaluation system; (ii) impact assessments; (ii) management related materials.

- Development of an analytical framework for the assessment of CCAFS research.
- Refinement of the evaluation questions and an evaluation matrix that identifies means of addressing the questions, including an outline of the data collection methods/instruments.
- Detailed specification of the evaluation timetable which includes plan for site visits.
- Indicative evaluation report outline and division of roles and responsibilities among the team.
- Preliminary list of strategic areas of importance prioritized for emphasis in the course of the inquiry phase.

These elements will be drawn together in an evaluation inception report which, once agreed between the team and the IEA will represent the basis for the team's work. Subject to the agreement of the Head IEA, adjustments can be made in a transparent fashion during evaluation implementation in the light of experience.

Inquiry phase

The Evaluation will build on the outputs of the inception phase and proceed with the inquiry, by acquiring more information and data from documents and relevant stakeholders, to deepen the analysis. The methods and approaches that are refined in the inception report, may include:

- Interviews with a variety of stakeholders both within and outside the CGIAR for obtaining qualitative views on, for instance, relevance and quality of research, likely effectiveness and aspects of partnership management.
- Surveys that may include CRP researchers, partners and other stakeholders for perceptions of key aspects of program performance and satisfaction with CRP relevance, progress and achievements.
- Site visits to locations of CCAFS operations for getting information of program activities and partner relations. Use will be made of management and research meetings that allow engagement with a range of stakeholders.
- Case studies of selected research areas or projects.

Reporting and dissemination phase

See 5.4.

4.3. Quality Assurance

In order to ensure technical rigor to the Evaluation, the following quality assurance mechanisms will be implemented during the evaluation exercise:

The IEA, and the evaluation manager will conduct quality control throughout the evaluation process. The IEA will work closely with the evaluation team throughout the evaluation and will ensure that the conduct of the evaluation and its approaches, methods and deliverables are in line with the Evaluation policy, Guidelines and Standards.

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Advice throughout the evaluation process will be sought from one or two designated external evaluation experts. In addition, an expert panel consisting of external, independent experts in subject matter areas of rice research may be called to examine the quality of the Evaluation Report in terms of substance, including the technical, contextual, and financial soundness of evaluation findings and conclusions.

Evaluation findings and conclusions are to consider actual resources available to GRiSP and to state what recommendations are resource-neutral and what recommendations imply a greater or smaller budget.

4.4. Main limitations and constraints of evaluation

The partnership structure, geographic spread and largely virtual nature of the CRP may limit the ability of the evaluation team to collect information across communities and stakeholder groups. There is therefore need to select suitable methods to assess the CRP that allow representative evidence to be gathered across heterogeneous operation, stakeholder groups and target domains.

5. Organization and timing of the Evaluation

5.1. Evaluation team qualifications

The evaluation team leader will be experienced in evaluating large multi-partner programs and have suitable background given the CCAFS research focus. The team leader will be supported by a team of experts who will between them have extensive and proven experience at international level on issues, programs and policies related to climate change in the context of developing country agriculture. They will also have demonstrated knowledge of the main global institutions involved in key issues related to climate effects on agricultural and food systems.

The team is likely to include 3-4 experts, in addition to the team leader. Among its members, the team will have an excellent understanding and knowledge of the research issues and international debate on following areas:

- Agricultural productivity and policy issues related to adaptation to climate change
- Climate change mitigation in the context of agriculture
- Climate information services and modelling
- Impact pathways and monitoring of research
- Partnerships and integration for decision-making
- Gender and equity

In addition the team will have competence to assess:

- organizational effectiveness
- capacity building issues
- research planning, methods and management
- communication and partnership

The team members should not have engaged with the CRP, participating Centers or key partners in any way that would present an actual or perceived conflict of interest.

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5.2. Evaluation governance/roles and responsibilities

The Evaluation will be conducted by a team of **independent external experts**. The team leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards. The evaluation team is responsible for submitting the deliverables as outlined in more detail below.

The **IEA** will be responsible for planning, initial designing, initiating, and managing the evaluation. The IEA will also be responsible for the quality control of the evaluation process and outputs, and dissemination of the results. The IEA will take an active role in the preparatory phase of the evaluation by collecting background data and information and by carrying out preliminary analysis on the CRP. An evaluation manager assisted by an evaluation analyst will provide support to the team throughout the evaluation.

A **Reference Group** will be set-up to work with the IEA evaluation manager to ensure good communication with, learning by, and appropriate accountability to primary evaluation clients and key stakeholders, while preserving the independence of evaluators. The Reference Group, composed of CRP stakeholders, can be thought of as a ‘sounding board’ and it will give views and inputs at key decision stages in the evaluation design and implementation process, such as finalising the TOR, the inception report and evaluation report.

CCAFS management plays a key role in catering for the evaluation team’s needs information on the CRP throughout the evaluation process. It provides documentation and data, information on all CCAFS activities, access to staff for engagement with the evaluators, and information on partners and stakeholders. It facilitates arrangement of site visits and appointments within the lead Center, participating Centers and other stakeholders. CCAFS management is also responsible for giving factual feed-back on the draft evaluation report and preparing the management response to the final report. It assists in dissemination of the report and its finding and lessons and it acts on the accepted recommendations. While the evaluation is coordinated with the CRP management, CIAT as the lead Center is a key stakeholder in the evaluation, particularly as it is concerned in fiduciary oversight and ultimate reporting to the Consortium on the CRP performance.

5.3. Timeline

The CRP evaluation is scheduled to take place mainly in 2015.

Table 2. Preliminary timeline for evaluation

Phase	Period	Main outputs	Responsibility
Preparatory Phase	June 2013 – Oct 2014	Final ToR Evaluation team recruited	IEA
Inception Phase	Oct 2014 – March 2015	Inception Report	Evaluation team
Inquiry phase	March 2014 – Aug 2015	Various reports and analysis products as defined in inception report	Evaluation team
Presentation of preliminary findings	Aug-Sep 2015	Presentation of preliminary findings Feedback from main stakeholders	Evaluation team IEA

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Reporting phase			
Drafting of Report	Aug 2015 – Oct 2015	Draft Evaluation Report	Evaluation team
Final Evaluation Report	Nov 2015	Final Evaluation Report	Evaluation team
Management Response	Jan 2016	Management Response	CRP Management
Dissemination phase	Feb 2016	Communications products	IEA Team leader CRP Management

5.4. Deliverables and dissemination of findings

The **Inception Report** - builds on the original terms of reference for the evaluation and proposed the approach to the main phase of the evaluation. It constitutes the guide for conducting the evaluation, by (i) outlining the scope of the evaluation; (ii) providing a detailed evaluation matrix; (iii) clarifying the analytical frameworks which will be utilized by the evaluation; (iv) developing the methodological tools and (v) providing a detailed work plan for the Evaluation.

The **Evaluation Report** - the main output of this evaluation - will describe findings, conclusions, and recommendations, based on the evidence collected in the framework of the evaluation questions defined in the Inception Report. The recommendations will be informed by evidence, relevant, focused, clearly formulated and actionable. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings and recommendations will be summarized in an executive summary. Evaluation findings and conclusions are to consider actual resources available to CCAFS and state what recommendations are resource-neutral and what recommendations imply a greater/smaller budget.

Presentations will be prepared by the Team Leader for disseminating the Report to targeted audiences. The exact forms of these presentations will be agreed during the inception phase. Adequate consultations with CCAFS stakeholders will be ensured throughout the process, with debriefings on preliminary and key findings held at various stages of the evaluation. The final report will be presented to key CGIAR stakeholders. Following this, the IEA will interact with the management of CCAFS during the preparation of the management response.

CCAFS Management will prepare a response to the evaluation for the consideration of the Consortium Board. The Management Response will contain both an overall response to the evaluation, as well as response by recommendation—addressing each recommendation in the order presented in the Evaluation Report. The **Consortium** (Consortium Office, with approval of the Consortium Board) will review the Evaluation Report and CCAFS Management Response and provide their response on the Evaluation Report recommendations, Management Response and Action Plan.

The Final Evaluation Report, CCAFS Management Response and the Consortium Board Response will be considered by the **Fund Council Evaluation and Impact Assessment Committee** (EIAC). As the final step of the Evaluation Report process, the Fund Council will consider the findings and recommendations of the Evaluation Report and the answers of the CCAFS Management Response and Consortium Board Response, then provide decision support and endorsement of the evaluation, responses, action plans and proposed follow-up.

Annex 1. Guide for preparing evaluation matrix

The evaluation matrix will be prepared and adjusted following a guide shown below, for identifying the most suitable methods to address the evaluation criteria and questions (see sections 2.2, 3.1 and 3.2), including overarching questions. For triangulation of findings, several sources of evaluative evidence and information will be selected and examined and a plan will be presented in the evaluation matrix for analyzing of the information. In the model below, the cells present assessment of the suitability of method in terms of the power of the evidence the method provides, and the feasibility of collecting the evidence. The evaluation matrix is developed by corresponding each evaluation question (or set of questions) with method of collecting evidence in adequate detail and the associated analysis needed.

Evaluation criteria	Potential methods of evaluation						
	Document review ¹	Expert knowledge	Field observations	Interviews	In-depth case studies	Portfolio and matching analysis	Surveys of staff and partners
<i>Overarching evaluation questions</i>							
<i>Programmatic performance, including cross-cutting topics</i>							
Relevance							
Quality of Science							
Likely effectiveness							
Impact and sustainability							
<i>Governance and Management</i>							
Independence, accountability, legitimacy, transparency and fairness							
Efficiency and effectiveness							

¹The types of documents used as sources of evaluative information/evidence will vary by evaluative criteria and line of inquiry