



Terms of Reference for
the Evaluation of CRP 6:
Forests, Trees and Agroforestry

April 2014



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List of Abbreviations

CCEE	CRP-Commissioned External Evaluation
CRP	CGIAR Research Programs
FC	Fund Council of the CGIAR
IEA	Independent Evaluation Arrangement of the CGIAR
ISPC	Independent Science and Partnership Council of the CGIAR
M&E	Monitoring and Evaluation
REWP	Rolling Evaluation Work Plan
SPIA	Standing Panel on Impact Assessment of the CGIAR
SRF	CGIAR Strategy and Results Framework
ToR	Terms of Reference



1. Background

As part the reform of the CGIAR, an Independent Evaluation Arrangement (IEA) Office has been established, located in FAO under the Fund Use Agreement between FAO and the CGIAR Fund. The main mandate of the IEA is to lead the implementation of the CGIAR Policy for Independent External Evaluation, through the conduct of strategic evaluations of major research programs of the CGIAR and the development of a coordinated, harmonized and cost-effective evaluation system in the CGIAR.

The CGIAR introduced a new Strategy and Results Framework (SRF) in 2011 as a result of a long-running reform process. This has provided a framework for the development of seven thematic areas of research, within which mega-programs called CGIAR Research Programs (CRPs) have been formulated. The CGIAR Fund Council enters into a results-based program performance agreement with the Consortium on each CRP.

A first evaluation of Forests, Trees and Agroforestry (CRP6) has been agreed with the concerned Centers, the Consortium and the Fund Council. CRP6 was approved in April 2011 after a long consultative process initiated in 2010. It is led by CIFOR and implemented with three other centers: ICRAF, CIAT and Bioversity. With a budget of US\$ 232.9 million for the first 3 years, CRP6 is the 6th CRP in terms of funding. Approximately one third of the total budget is expected to be financed from Windows 1 and 2 of the CGIAR Fund¹, while the rest is being sought by participating centers through bilateral grants. At this early phase of CRP6 implementation, the evaluation approach will be formative and forward-looking reviewing inter alia, progress made so far towards results, gender mainstreaming, governance and partnership aspects as well as other innovative modalities of work introduced with the Reform. The results of the evaluation should be ready in early 2014 and are expected to provide inputs to the revision of the CRP strategy, including suggestions for a more efficient and effective organization of the work carried under the CRP. The evaluation is also expected to bring lessons on the CRP modality of relevance for the CGIAR as a whole.

2. Purpose of the Evaluation

a) Evaluation Rationale and Objectives

“Forests, Trees and Agroforestry: Livelihoods, Landscape and Governance” is one of the major thematic areas of the reformed CGIAR and at a same time a mega-program, in terms of size. The estimated budget over 10 years is in the range of US\$ 700 million. CRP6 brings together four of the world’s leading research centers – CIFOR, ICRAF, Bioversity International, and CIAT - in their respective areas to work in partnership beyond normal research cooperation and coordination towards a common goal. The strategy and the work of two key partner centers of CRP6 (ICRAF and CIFOR) have not been evaluated comprehensively since 2006 when an External Performance Management Review was carried out on each of the Centers. The more intensive and integrated partnership approach is intended to introduce efficiencies and enhance effectiveness, in coherence with the objectives of the SRF and the principles of the CGIAR.

A research program of this scale and level of ambition requires careful examination, which may lead to revisiting its strategic priorities based on an informed understanding of the kind of research and approaches through which the CRP can add most value and generate international public goods

¹ The CGIAR Fund is a new multi-donor, multi-year funding mechanism that provides strategic financing to support agricultural research. Fund resources are provided to the Consortium of the CGIAR supported Centers on a contractual basis through performance agreements.

(IPGs) consistent with the CGIAR Vision. CRP6 has ambitious objectives regarding how research outputs are to be translated into development outcomes and impacts by using innovative partnership arrangements. The envisaged transformational change is based on a synergistic approach between forestry, agroforestry, as well as changes in forestry governance systems, policies, legislation and behavior of government and non-governmental institutions, farmers, industry, etc. This poses major challenges for linking research outputs, and scaling out and up to reach the planned impacts, as well as for monitoring and evaluation.

This evaluation is a formative, process-oriented evaluation, which is undertaken to enhance the contribution that CRP6 is likely to make to the CGIAR SRF vision and goals, and to the evolving global, regional and national forestry and agroforestry challenges. The evaluation will examine the extent to which these challenges are addressed in the program and will provide evidence-based guidance to improve the program while also enhancing accountability.

The evaluation findings are expected to feed into the decision-making of CRP6 management in order to help improving the CRP6 strategy and its implementation process. It may also contribute to overall decision making on CRP management and resource allocation by the Consortium Board and the Fund Council. The evaluation will also contribute to overall internal learning within CGIAR with respect to key aspects of CRP design and implementation.

b) Evaluation Stakeholders

The stakeholders of this evaluation can be categorised into two groups:

- (i) CGIAR/ CRP 6 internal stakeholders: including the Fund Council members to whom the report will be submitted; Consortium with whom CRP 6 four participating centers' management; CRP 6 Management; CRP 6 participating centers' staff.
- (ii) CGIAR/ CRP 6 external stakeholders: including those directly using and benefiting from CRP 6 research outputs and those partnering with CRP 6 in conducting its research activities: academic and research institutions as well as development organizations involved in the field of forestry and agro-forestry; government and decision-makers at various levels; bilateral and multilateral donors; partners and other actors within the international forestry and agro-forestry realm; private sector, NGOs and civil society at large; and communities themselves.

A matrix, defining more specifically evaluation stakeholders and their respective interests in the evaluation will be developed during the inception phase of the evaluation.

Because of the formative nature of the evaluation, carried out relatively early in the program, a continuous dialogue throughout the evaluation process will be important with all those involved in the implementation of CRP6, including management, staff and associated partner organizations. In particular, CRP 6 stakeholders will provide inputs for prioritizing the scope and questions of the evaluation in the TOR and refining the evaluation matrix during the Inception Phase.

3. Scope of the evaluation

a) Program Content²

i. Overview of CRP 6

Forests, Trees and Agroforestry is an integrated global research initiative that aims to enhance the management and use of forests, agroforestry and tree genetic resources in the developing world as a way to improve livelihoods and sustain environmental values. It is a very large program that spans across a wide range of topics, from small-scale production technologies through to international trade and global conventions, with multiple partnerships, and with a diverse set of strategies to achieve impact.

CRP6 primarily contributes to a more sustainable management of natural resources (CGIAR System Level Outcome 4) and to reducing rural poverty (SLO 1), but research is also supposed to contribute, to a lesser extent, to increase food security (SLO 2) and to improve nutrition and health (SLO 3). Finally, CRP6 also contributes to meeting explicit gender and capacity building related goals of the Consortium.

CRP6 is complex, with multiple pathways to impact at the component and theme levels. It is intended that the main research products will be international public goods: knowledge, technology, and institutional and policy innovations that are relevant and useful throughout the tropics and beyond. Much of the research will be grounded in case studies and comparative analyses. This research is also expected to contribute to positive change by helping to address constraints and realize opportunities directly in the countries, sites and systems where the research is carried out. CRP6 intends to contribute to achieving impact by: influencing global and national research and development agendas; giving due attention to the needs of all stakeholders (gender, diversity issues); developing new research approaches and methods; networking and coordinating with other actors in the knowledge-to-action process, and; helping to strengthen the capacity of developing country institutions and individuals to generate and apply knowledge more effectively.

CRP6 has been designed to make a significant contribution toward the system level vision, strategic objectives, and system-level outcomes by:

- enhancing the contribution of forests, agroforestry and trees to production and incomes of forest-dependent communities and smallholders;
- conserving and sustainably using biodiversity, including tree genetic diversity, through sustainable management and conservation of forests and trees;
- maintaining or enhancing environmental services from forests, agroforestry and trees in multifunctional and dynamic landscapes;
- reducing emissions of greenhouse gases and augmenting carbon stocks through better management of forest- and tree-based sources while increasing local and societal resilience through forest-, agroforestry- and tree-based adaptation measures; and
- promoting the positive impacts and reducing the negative impacts of global trade and investment as drivers of landscape change affecting forestlands, agroforestry areas, trees and the well-being of local people.

Following this, five components form the core of the CRP6 research and impact strategies:

1. Smallholder production systems and markets
2. Management and conservation of forest and tree resources
3. Landscape management for environmental services, biodiversity conservation and livelihoods

² A background paper prepared by the IEA provides detailed information on the program, budget and expenses.

4. Climate change adaptation and mitigation
5. Impacts of trade and investment on forests and people

A key tool for analyzing long-term trends and conduct of research is intended to be Sentinel Landscapes (during the first phase of CRP6, the emphasis of Sentinel Landscapes will be on building comparative advantage based research and co-location of the work of the centers involved). CRP6 includes technological research as well as research analyzing and supporting the improvement of institutions and policies, at a range of scales.

The total budget allocated to activities associated with the 5 components listed above is US\$ 220.1 million over three years, just under 95% of the total budget. The remaining 5% has been allocated to cross-cutting activities (communication, gender, capacity building, Sentinel Landscapes and program coordination). The table below illustrates the distribution of the budget amongst the 5 components. Component 4 on climate change is the largest in terms of funding, representing 30% of total research funding, while Component 5 on trade and investment is the smallest. The share of the budget dedicated to the other three components ranges from 19% to 23% of total research funding.

The level of ambition for this program has been set very high, targeting 46% of global forest cover and approximately 500 million people living in or close to forests in Southeast Asia, Africa and Latin America with quantitative impact targets after 10 years of implementation.

ii. Resources

With a budget of US \$232.9 million for the first 3 years, CRP6 is the 6th CPR in terms of funding. Funding from the CGIAR Fund (Windows 1 & 2) represents 39% of the total budget (i.e. US \$90 million). According to the CRP proposal, about 33% of the budget is expected to be funded through the CGIAR Fund; 34% of the proposed budget is to be funded from contracted restricted donor projects; and 32% of the budget is expected to be covered through proposals.

In total, US\$ 220.1 million are allocated for research activities associated with the five components. The budget also includes US\$12.8 million for activities across the five components, including: integrating gender into the research activities; development of sentinel landscapes; CRP6 coordination and communications.

CRP 6 Main Budget Components for 2011-2013				
	2011	2012	2013	Total
C1	13,386	14,938	16,455	44,779
C2	14,265	16,450	18,482	49,197
C3	14,686	16,174	17,791	48,651
C4	18,408	20,721	22,508	61,637
C5	4,761	5,283	5,813	15,857
Total Components	65,506	73,566	81,049	220,121

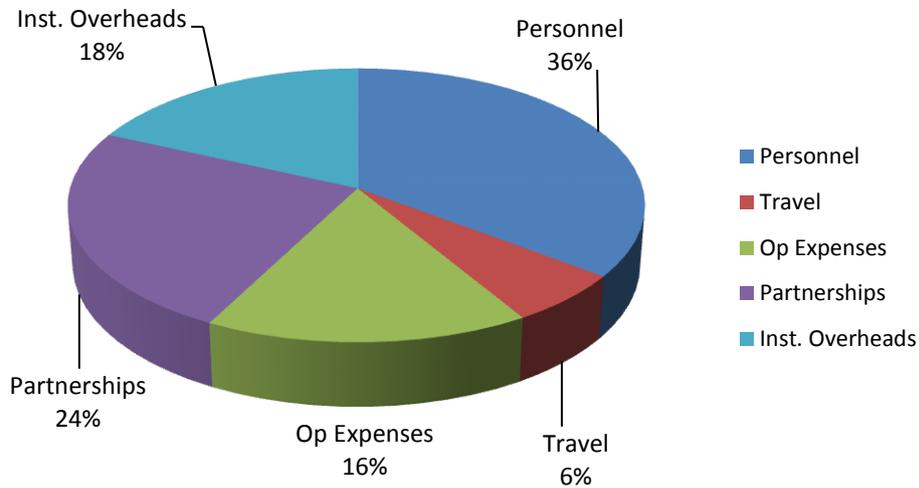
	2011	2012	2013	Total
Program Coordination	824	996	1,071	2,891
Gender	830	1,231	1,798	3,859
Sentinel Landscapes	300	1,680	1,680	3,660
Communications	382	887	1,119	2,388

Total CRP 6	67,842	78,360	86,717	232,919
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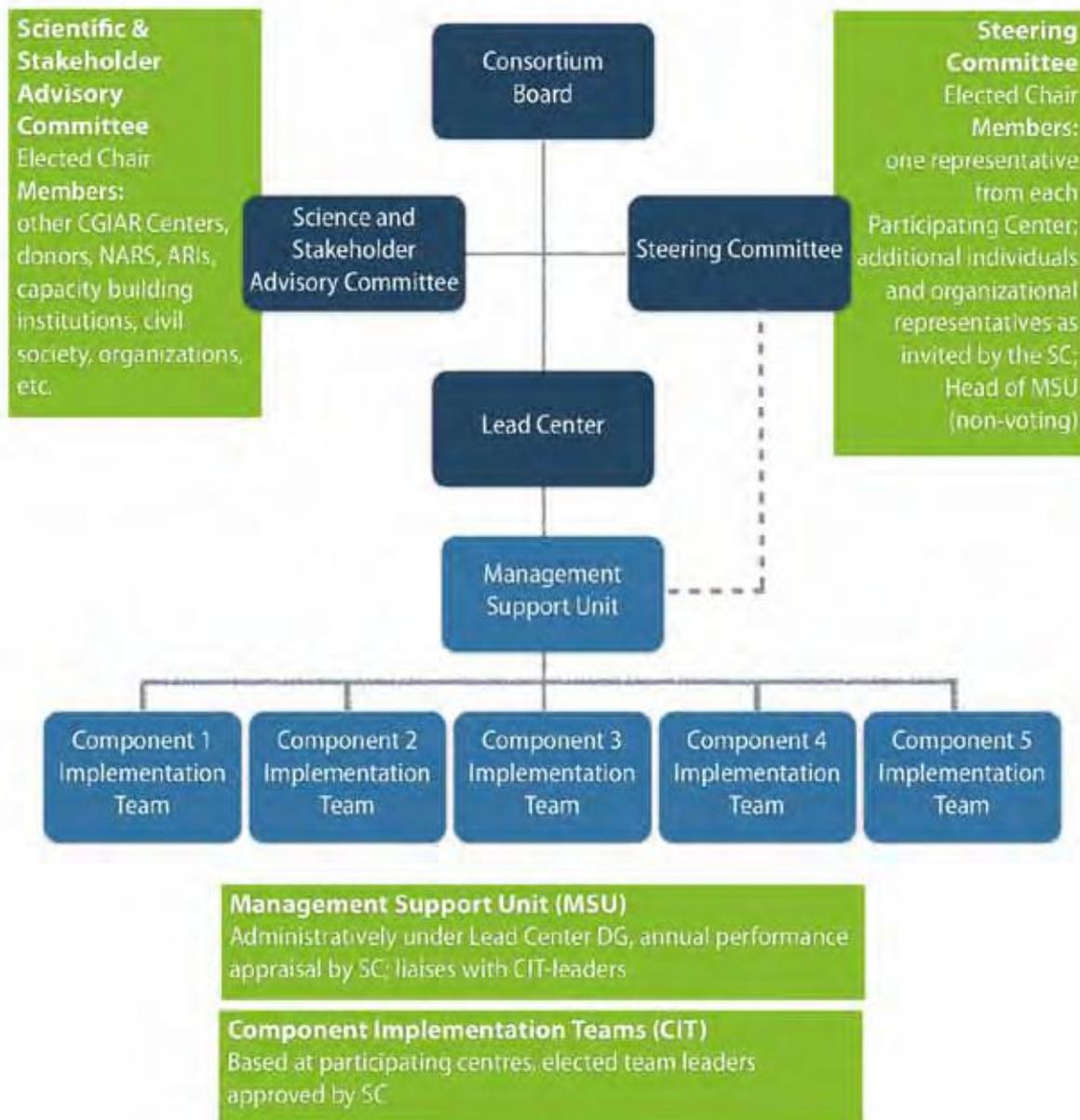
The budget is provisionally allocated across the four participating centers as follows: 47% to CIFOR, 41% to ICRAF, 11% to Bioversity and 1% to CIAT.

By category of expenditure, the budgetary allocation for CRP6 is as follows:

CRP6 Budget Allocation by Category of Expenditure



CRP Organizational Set up



b) Evaluation coverage

The evaluation will cover all research activities of CRP6 and related processes. The evaluation period is from 2011 to mid-2013 but also includes planning activities preceding 2011. The program has been running since 2011 but contains major research activities of all four CRP6 partner organizations which have been initiated before the launch of CRP6. Since it is likely that these research activities constitute a significant part of CRP6 (to be mapped during the evaluation preparatory period), they will need to form part of what is to be evaluated and are those most likely to be moving towards achievement of outcomes and impacts. When assessing research performance, particular emphasis

will be given to this “ transferred” research work, going back to 2008 which is when both CIFOR and ICRAF adopted their new long-term strategies. Organizational performance which will cover areas

such as program structure, governance and management arrangements, as well as partnerships will be evaluated from the beginning of the CRP6, i.e. July 2011.

4. Evaluation criteria and specific questions

The main evaluation criteria to be used in this evaluation are:

- Relevance
- Efficiency
- Effectiveness
- Impact
- Sustainability
- Quality of science

Some possible issues to be addressed by the evaluation emerged from preliminary discussion with stakeholders and are structured around two dimensions: Research performance and Organizational effectiveness. They are subject to refinement and prioritization during the inception phase by the Evaluation Team with the stakeholders.

Research performance

- Because of the relatively early timing of this evaluation in the CRP6 cycle, potential for effectiveness, impact and sustainability will be analyzed in the context of relevance. Actual effectiveness, impact and sustainability will be considered for those areas of ongoing research which began before the CRP and which have generated or have had time in which to generate outcomes (even if they have not). **Potential and actual impact assessment** where the emphasis is on *ex ante* assessment of the likelihood of achieving planned impacts and existing impact studies³. Perception studies may also be undertaken by the evaluation team. Using a case study approach the evaluation will look critically at the extent to which systematic thought has been given to and plausibility of selected impact pathways⁴ including assessment of CRP6 research specific assumptions as well as external assumptions crucial for planned outcome and impact delivery. The extent to which impact pathways have been internalized and assumptions and risks reduced, including through partnership approaches and active communication strategies will be examined. Particular attention will be given to the extent to which the specifics of how policy impact is to be secured have been thought through from the global to the local levels;
- **Validity of the emphases of CRP6** in view of the comparative advantages of the CGIAR, including global mandate and strengths of the CGIAR system, limited national capacities in tree, forest and agroforestry research and limited areas of R&D interest of the commercial sector (fruits and tree crops, plantations and wood processing);
- **Research design and assumptions**, e.g.:
 - the validity of Sentinel Landscapes in assessing typical overall trends is valid, although they are the sites for intensive action research;

³ Further, impact studies would require considerable resources and there will be heavy reliance on existing impact studies and information for those areas of ongoing research which began before the CRP.

⁴ Application of outcome mapping approach as specified in the CRP6 design

- concentration on optimizing balanced development of forests and forest dependent people can significantly reduce pressure on forest ecosystems, as distinct from lifting livelihoods through non-forest dependence;
- balance in integration of economic and social research with technical;
- attention to risks, including those associated with genetic and other biological material;
- effective integration of gender;

Organizational performance:

- **Changes and value-added brought about by the CRP structure** relative to the previous programs; including in organizational effectiveness, management structure and system, partnership management;
- **Direct and indirect benefits and costs resulting from the new CGIAR structure and ways of working, both intended and unintended.** Attention will be given to issues of fund availability, transaction costs, and working arrangements relationship with other CGIAR institutions;
- **Realism in budgeting, appropriateness of fund distribution** between institutions and programs and the balance achieved in line with program objectives in sourcing of funds. Extent to which systematic prioritization, planning and reprogramming is taking place in line with resource availability;
- **Organizational learning** and how this is impacting on science; planning, organization and management; the impact pathway from scientific results to their application. The contribution of monitoring evaluation and impact assessment to this.

Evaluation criteria and a broad set of questions to be addressed by the evaluation of the CRP6 are presented in the preliminary draft **evaluation matrix in Annex 1**. These questions have been formulated primarily on the basis of the “generic” key evaluation questions under each evaluation criterion, and a review of the CGIAR SRF and CRP6 Proposal; Draft CRP level Intermediate Development Outcome report; Monitoring, Evaluation, and Impact Assessment Strategy; available annual reports; and other relevant documents. The evaluation matrix will be further elaborated and questions prioritized in discussion with stakeholders and finalized including elaboration of indicators by the evaluation team, as part of the inception report.

5. 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 **IEA** will be responsible for planning, 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 CRP6. A research assistant 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 can be

thought of as a ‘sounding board’, giving views and inputs at key decision stages in the evaluation design and implementation process. The group may also play an important role in leading evaluators to key people and documents, and representing the views of other stakeholders: not only to the evaluators but to each other. It will be composed of CRP6 stakeholders and chaired by the IEA Head. The Group will meet regularly to review and debate draft documents and to provide comments at key stages of the evaluation, in particular on the evaluation questions, the TOR, the inception report, and any major case study reports as well as the draft final report. The Reference Group will be composed of representatives from: the CRP6, the Consortium and CIRAD as a major partner organization.

6. Quality Assurance

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

- **Evaluation peer reviewer:** As per Evaluation Policy, two senior evaluation experts will peer-review the evaluation at different milestones, including terms of reference, inception report and evaluation report.
- **Team Meetings:** meetings will take place with the Evaluation team members and the IEA at strategic stages of the evaluation, in particular at two key milestones of the process: (i) at the outset of the evaluation (mid-2013) to discuss and agree on the approach and methodology of the evaluation with the IEA; and (ii) towards the end of the data collection phase to discuss preliminary findings and agree on the reporting process, timelines and report outline.
- **Expert Panel:** The quality of the evaluation, including the technical soundness of the evaluation preliminary findings will be submitted for examination by a panel of external and independent experts in forestry and agro-forestry. The panel of experts will be composed of senior subject-matter specialists of relevance to the research areas of CRP6 with a combination of regional and technical backgrounds, and will be selected to provide an impartial technical judgment. The expert panel will meet for two to three days to discuss the evaluation findings as presented in the first draft evaluation report of the team, and will provide recommendations to the team leader for the finalization of the report.

7. Evaluation Approach, Methodology and Timetable

a) Approach and Methodology

The evaluation intends to be forward-looking and formative, and will seek to provide lessons learnt and recommendations for the future consistent with recent strategic directions adopted by the CGIAR, in view of conclusions drawn by the evaluators relative to the relevance, efficiency, effectiveness, sustainability, impact and quality of science of the CGIAR’s past and current work related to the sustainable management of forests and trees.

The evaluation process will be attentive to developing findings, conclusions and recommendations based on evidence and broad consultation among stakeholders, in a way to capture the widest possible range of viewpoints. The evaluation will use the approved CGIAR Strategy and Results Framework (SRF) and its vision and objectives as the overall evaluation framework against which CRP6 is assessed.

i. Preparatory Phase

During the preparatory phase, the IEA, in consultation with relevant stakeholders, will review key documents, carry out a preliminary mapping of CRP6 work, and define the scope and issues surrounding the evaluation.

The IEA will also carry out the following tasks:

- Compile an inventory of research projects associated with each of the CRP6 components;
- Assess the need for preparatory studies;
- Collect preliminary information;
- Develop a CRP6 stakeholder matrix;
- Conduct preliminary missions to centers to collect data and prepare evaluation team work if necessary;
- Finalize the terms of reference;
- Identify existing evaluation reports of CRP6 related projects completed since 2008;
- Set up a Reference Group for the evaluation; and
- Select the evaluation team leader and in consultation with her/him, the evaluation team.

ii. Inception Phase

The Evaluation's scope, focus, and evaluation tools will be refined during an Inception Phase, which will include:

- Desk reviews and synthesis of monitoring information: The evaluation will prepare as deliverables systematic desk reviews of (i) information derived from the CRP6 monitoring and evaluation system especially concerning the delivery of research outputs (relevance, quality, timeliness) and communication and dissemination, (ii) available impact assessment reports; (iii) management and process strategy documents, manuals and protocols, (iv) administrative reports and databases for human and financial resources;
- Stock-taking on current global trends and forest and agroforest related issues presented into a Brief;
- Baseline of communication and dissemination activities of CRP6 subject matter by the concerned CGIAR Centers (pre and during CRP6), including peer and non peer reviewed science journals, national and international press, meetings and symposia;
- Development of analytical framework for assessing CRP6 research;
- Refinement of evaluation questions and finalization of the Evaluation matrix;
- Detail of evaluation methods;
- Identification of specific initiatives or instruments calling for specific case study;
- Selection of sample sites to visit;
- Detailed specification of evaluation timetable, deliverables including an indicative evaluation report outline and responsibilities.

These elements will be drawn together in an evaluation inception report which once agreed between the team and the IEA will represent the contractual basis for the team's work. Adjustments can and should be transparently made during evaluation implementation in the light of experience and in agreement with the Head IEA.

iii. Conduct of Evaluation

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. Methods may include:

- **Expert and key stakeholder interviews using visits and phone/email interviews** to obtain their views e.g. on the relevance and quality of research, likely impacts and quality of partnership management.
- **Surveys** targeted at stakeholders, selected policy-makers, other intended main beneficiaries and leading international experts to obtain their views e.g. on the relevance of research, likely impacts and quality of partnership management.
- **Visits to participating CRP partner organizations** e.g. to assess quality of cooperation and leadership, collect information and deepen understanding of issues covered through desk review.
- **Case studies** for purposive sampling of research, randomized to the extent possible and based on such criteria as significance of the issue, length of time the research has been ongoing and resources committed to it. Case studies can be used to explore such questions as: how cross-cutting themes have been addressed, study the quality of impact pathways, and scoring/ranking research quality sampled research using explicit criteria. Case studies methodology will include visits to research sites.
- **Participatory SWOT analysis.**
- **Consultative workshops** on selected themes;

iv. Drafting of report

Towards the end of the data collection phase a Team meeting will take place involving the IEA Evaluation Manager, to discuss preliminary findings and make any changes in reporting responsibilities..

v. Dissemination of evaluation results

Several events will be organized to disseminate the evaluation results. A dissemination strategy will be developed during the inception phase.

b) Evaluation Deliverables (preliminary listing)

- **Desk Review** Summaries
- The **Inception Report**: The purpose of the inception report is to principally serve as a guide and reference document for conducting the evaluation. It builds on the original terms of reference for the evaluation. The inception report will: (i) Outline the scope of the evaluation; (ii) Provide a detailed evaluation matrix; (iii) Clarify the analytical frameworks which will be utilized by the evaluation; (iv) Develop the methodological tools and (v) Provide a detailed workplan for the Evaluation; (vi) Provide an indicative evaluation report outline.
- The **evaluation report** will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the TOR and further elaborated in the Inception Report. It will include an executive summary. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable. The report will be prepared in English with numbered paragraphs.
- **Presentations** will be prepared by the Team Leader for disseminating the Report to a targeted audience. The exact forms of these presentations will be agreed during the inception phase.

c) Management Response and Follow-up

The CRP6 Management will prepare a response to the evaluation for the consideration of the Consortium Board. The management response will be specific in its response to evaluation recommendations as to the extent to which it accepts the recommendation and why and for those recommendations which it accepts partially or in full, what follow-up action it intends to take, in what time-frame. The consolidated response of the CRP6 management and the Consortium Board will be public documents made available together with the evaluation report for the consideration of the CGIAR Fund Council.

d) Evaluation Team Composition

- The evaluation team leader will have solid experience in leading complex evaluations and will be supported by a team of experts who will between them have extensive and proven experience at international level, working for international and development agencies, on issues, programs and policies related to forest and trees and forest and tree dependent people and in areas of research of CRP 6. They will have an excellent understanding and knowledge of the international debate on forestry, agroforestry and related issues, such as natural resources conservation and climate change. They will also have demonstrated knowledge of the main global institutions involved in forestry and an understanding of the interfaces and integrations with agriculture. The team is likely to include in addition to the team leader, 3-4 experts who can adequately cover between them in an integrated policy context:
 - sociological and gender issues
 - capacity building issues
 - macro and micro-economic issues
 - tropical humid and dryland forest management
 - agro forestry and trees in agriculture
 - marketing, rural finance, and trade
 - institutional and policy analysis in the context of development
 - research planning, methods and management
 - research institution, research program and partnership governance, organization and management
 - communication and partnership for policy change and implementation

e) Evaluation Timetable

Table 1 - Evaluation Timetable and Tentative Deliverables

Phase	Period	Main Output	Responsibility
Review of key documents, preliminary mapping of CRP 6 work, definition of scope and issues	January – March 2013	Draft ToR for circulation Identification of Team members	IEA
Preparatory Work	March – May 2013	<ul style="list-style-type: none"> ▪ Preliminary collection of information ▪ Final ToR 	IEA
Team meeting	June 2013	Work distribution to prepare inception report including desk studies	
Inception Phase	June – August	Inception Report	Evaluation

	2013		Team Leader in close collaboration with IEA evaluation manager. Team members to do desk reviews
Team meeting	September 2013		
Inquiry Phase: Conduct of interviews Surveys Country visits Desk reviews	September 2013-February 2014	Various reports as defined in the inception report	Evaluation Team (with support from IEA to be defined during the inception phase)
Final consultations on preliminary results and draft evaluation report	March April 2014	Draft Evaluation Report	Evaluation Team Leader and team
Expert Panel	April 2014	Expert Panel Report	Expert Panel Evaluation Team Leader IEA
Final Evaluation Report	May 2014	Final Evaluation Report	Evaluation Team Leader
Management Response	June 2014	Management Response	CRP Management
Dissemination Event	June/July 2014		Team Leader and IEA Head

a) Evaluation Communication and Feedback

Adequate consultations with CRP6 stakeholders will be ensured throughout the process, with briefings on 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 CRP6 management during the preparation of the management response. A dissemination event will be organized on the final report and the Management Response.

Annex 1 – Preliminary Evaluation Matrix to be refined during inception phase

Evaluation Criterion	Evaluation Questions	Means of Verification/Indicators	Approach and Sources of Information
Relevance			
<p><i>Consistency of CRP6 with priority global forestry and agro-forestry challenges and opportunities</i></p>	<p>Are key global, regional, national and landscape level forestry and agro-forestry challenges and opportunities appropriately reflected in the CRP6 priority setting?</p> <p>Is research's, and in particular CRP6's, role in addressing these challenges and opportunities clearly and realistically identified?</p>	<p>Assessment of the current and emerging key global forestry and forest-related biodiversity and livelihood challenges and opportunities</p> <p>Review of links between these trends and CRP6 objectives and priorities</p> <p>Coherence between the global forestry issues, CGIAR SRF and CRP6 objectives</p> <p>Assessment of current state of knowledge regarding these issues and identification of research's role in addressing challenges and opportunities</p> <p>Balance between the attention paid to the challenges and the</p>	<p>Relevant UNFF/CPF, CBD, UNCCC FAO, IFAD, WB/GEF, AFDB, ADB, UNEP, UN REDD, ITTO, WRI, WWF, IUCN, CI, UN REDD, and selected bilateral aid agencies etc. strategic documents and assessments</p> <p>Expert interviews of representatives of these organizations</p> <p>Relevant CGIAR partner organization strategic documents and those of IUFRO/WFSE, Poverty and Environment Network, CIRAD, CATIE, LAFORGEN, SAFORGEN, European Tropical Forest Research Network RRI, Forest Trends, Asia-Pacific Agroforestry Network, MAB, IFRI, CTFS etc.</p> <p>Interviews of representatives of these organizations</p> <p>Possible surveys (to be carried</p>

		opportunities Perceptions of relevant international organizations and processes related to CRP6 relevance	out by the Team)
	To what extent are CRP6 vision, objectives and impact pathways coherent with the CGIAR's Strategy Results Framework (SRF)? How does the "transferred" research agenda contribute to the CRP6 and SRF objectives?	Review of links of CRP6 outcomes and impacts to CGIAR SRF and goals Comparisons of the "transferred" research portfolio with the new one; what has changed	CGIAR SRF document Thematic literature review (state of knowledge on these links) CRP6 proposal, medium-term plans, annual reports Interviews of representatives of many of the same organizations as above CRP6 M&E system
<i>Comparative advantage/Strategic positioning of CRP6 to deliver value-added</i>	Does CRP6 build on the comparative advantages of the four participating centres? Is the allocation of resources between components and themes, as well as between participating organizations, consistent with system and global level priorities and comparative advantages? To what extent is there adequate focus on delivering international public goods?	Identification of CGIAR and its partner organization comparative advantages Correspondence of CRP6 plans and priority setting with identified comparative advantages Perceptions of relevant international organizations and processes related to the	CGIAR partner organization strategic documents Strategic documents of key forest/agroforestry/biodiversity research and research oriented organizations and networks Interviews of representatives of these organizations Monitoring and evaluation reports

		<p>comparative advantages (SWOT analysis)</p> <p>Identification of new relevant research topics, approaches and methods in CRP6; comparisons with what other organizations are doing</p> <p>Share of IPG-oriented research of the research agenda</p>	
<i>CRP6 research agenda and priority setting</i>	<p>How are research priorities set and related resource allocation decisions made?</p> <p>To what extent would it be possible to improve strategic priority setting within the CRP6 as a whole (between the components) and between themes within individual components?</p> <p>Are all CRP6 components and themes within components relevant? Is there potential to merge some of them within CRP6 or with other CRP research?</p> <p>To what extent are national research activities consistent with regional, and national/government priorities?</p>	<p>Description of the priorities in CRP6 proposal</p> <p>The process of setting research priorities and allocating resources between components and themes within components</p> <p>Comparison of resource allocation with planned priorities</p> <p>The relative importance of pro-poor oriented research</p> <p>Comparison if the priorities have changed</p>	<p>Review of CRP proposal and related plans</p> <p>Interviews of CRP& partner organization staff</p> <p>Interviews with Government and (I)NGO partners in sample countries</p> <p>Review of relevant national documents</p> <p>Annual reports, budget data</p> <p>Monitoring system</p>

		<p>compared to “business as usual” research in CRP6 partner organizations?</p> <p>In sample countries, review of CRP6 research against national forestry and environment strategies and national research program</p>	
II Effectiveness			
<i>Delivery of outputs and outcomes against the plan</i>	<p>To what extent have the planned outputs and outcomes been achieved and what design elements, practices and other factors have positively or negatively affected performance?</p> <p>What have been the major achievements in the various technical areas of work?</p> <p>What needs to be done to increase the likelihood of CRP6 achieving the stated objectives?</p> <p>What unplanned outputs and outcomes have been achieved?</p> <p>Is there a clear strategy, approaches and methods supported by adequate resources to discern, assemble, and disseminate research outputs and integrating information across the</p>	<p>Review of planned outputs, outcome against plans and set objectives for each component and CRP6 as a whole, including cross cutting themes</p> <p>Analysis of outcomes for selected research; evidence on contributions to international negotiations or global/national/regional policy process</p> <p>Critical review of the overall TOC</p>	<p>CRP6 proposal, medium-term plans</p> <p>Work plans</p> <p>Annual reports</p> <p>Monitoring and evaluation system</p> <p>Special evaluation and impact assessment reports</p> <p>Selected research plans and outputs</p> <p>Expert interviews</p> <p>Case studies (research projects)</p>

	<p>scales to enhance impacts?</p> <p>Are the assumptions related to delivery of the planned outcomes with partners, including “boundary partners”, valid and realistic?</p>	<p>underpinning CRP6</p> <p>Critical review of impact pathways of individual research programs and projects by component based on a sample:</p> <p>Review of systems and approaches to assess likelihood of delivering outcomes</p> <p>Identification of changes made to the original proposal and plans</p> <p>Review of how research ‘failures’ been handled and documented</p> <p>Systematic review of the quality of defined CRP6 assumptions</p>	
<p><i>Communication and dissemination</i></p>	<p>Is the research adequately disseminated through partnerships and appropriate communication mechanisms to wider audiences</p> <p>To what extent is the program reaching its intended clients?</p>	<p>Critical review of impact pathways of individual research programmes and projects by component based on a sample</p> <p>Assessment of the</p>	<p>CRP6 proposal and related plans</p> <p>Sample research projects</p> <p>Monitoring system, annual reports</p> <p>Evaluation and impact assessment</p>

	Are assumptions behind coverage valid, and are there ways to improve the coverage?	catalytic role CRP6 has played, or can play, in the delivery of research products to intended beneficiaries	reports Survey (to be carried out by the Team) Sample research
<i>Gender</i>	How well is gender mainstreamed in CRP agenda? To what extent is the gender strategy being implemented? Is there a system, including indicators, to assess impacts on women?	Demonstrated inclusion of gender concerns by component Share of research addressing gender Mainstreaming gender vs. specifically gender-oriented research Use of gender-related indicators Partnerships or consultations with women's organisations	CRP6 strategy for gender responsive research CRP6 proposal Annual reports Case studies
<i>Capacity development</i>	What kind of progress has been made in capacity strengthening against the plans? To what extent has CRP6 succeeded in integrating/mainstreaming capacity building in its work and meeting its targets for capacity strengthening at different levels? Are there ways of improving effectiveness of these efforts? Are the CD approaches in line with good	Review of research portfolio; share of research that explicitly addresses capacity building by component Allocation of resources for capacity strengthening: separate budget vs.	CRP 6 proposal and related plans Annual reports Monitoring and evaluation system Sampling research reports by components Consolidated, partner organization and component

	<p>practices?</p> <p>Who has benefited or is likely to benefit the most from capacity building activities, and how?</p>	<p>integrated/mainstreamed</p> <p>Share of research projects with elements of building capacity of national research organizations</p> <p>Analysis of CD approaches against good practices</p>	<p>budgets</p> <p>Samples of individual research budgets</p> <p>Case studies</p>
III Efficiency			
<i>Organizational effectiveness</i>	<p>What progress has been made executing the organisational structure and arrangements?</p> <p>To what extent do the governance arrangements ensure program coherence among the CRP6 partners?</p> <p>Do the current management arrangements, incl. the composition of the Steering Committee, foster efficient and independent decision making and oversight concerning scientific directions?</p> <p>Are the roles and relations between the Lead Centre, participating CGIAR centres, the Management Support Unit, Component Implementation Teams, the Steering Committee and Scientific Stakeholder Advisory Committee clearly defined? How effectively are they performing these roles and</p>	<p>Description of structures and processes for planning, management, coordination, monitoring, reporting</p> <p>Description how CRP6 is placed within partner organization structures</p> <p>Description of decision-making responsibilities concerning key management functions</p> <p>Review of sample research planning processes in terms of decision-making, participation of stakeholders in planning</p>	<p>CRP6 Proposal and various system/administrative documents:</p> <p>Organizational charts, terms of references/mandate and job descriptions</p> <p>Interviews with CGIAR management staff, CRP6 management staff , and staff of CRP6 partners as well as other partners</p> <p>Plans and annual reports</p>

	<p>the support from the Consortium adequate?</p> <p>To what extent have the Program Management and participating partners succeeded in preparing quality plans, system manuals and guidelines, and reports in a timely manner and making them available to relevant parties?</p> <p>To what extent has the Lead Centre effectively managed partnerships and external relations, including convening CRP6 planning meetings, workshops and science congresses?</p> <p>To what extent have country-level stakeholders been actively and effectively involved in the formulation of the research agenda?</p> <p>How could the governance structure be improved?</p>	<p>and implementation</p>	
<p><i>Management structure and system</i></p>	<p>To what extent have the reformed organizational structures increased (or decreased) efficiency?</p> <p>How is the result-based contractual relationship for CRPs working out?</p> <p>How will the new CRP Research Management platform - being developed by the Consortium to facilitate harmonized monitoring of CRP research results-co-exist with Centres' management systems? Will it lead to duplication?</p> <p>Are systems in place that allow systematic</p>	<p>Review of Monitoring, Evaluation, and Impact Assessment Strategy and more detailed related guidelines and system manuals</p> <p>Review of any benefit cost-studies</p> <p>Disaggregated costs enabling comparison of cost categories across components and participating centres and</p>	<p>Monitoring system</p> <p>Budgets, data on actual expenditure in CRP6</p> <p>Budget/cost information from other CRPs</p> <p>Available benefit-cost analyses of research investment</p> <p>Audit reports</p>

	<p>monitoring of costs in relation to outputs and outcomes, including <i>ex ante</i> studies assessing likely impacts in relation to the costs?</p> <p>To what extent are the resources allocated to CRP6 being utilized in an economical manner in producing outputs and progressing towards planned outcomes?</p> <p>Are the research and administrative costs (and their balance) comparable with other CRPs and similar type of multi-centre programs in the natural resource sector?</p> <p>To what extent have the governance arrangements and aligned research between CRP6 participating organizations brought, or have potential, to bring about improvements in efficiency and net gains in resource use?</p> <p>How have actual costs of various CRP6 components and projects within components compared with planned costs? What are the main reasons for any differences?</p> <p>Are there possibilities to reduce management costs through more efficient collaboration and streamlining administration and communication across components and participating partners?</p> <p>Is the level of planning, coordination and research collaboration with the participating CRP6 centers efficient?</p>	<p>benchmarking against other CRPs and other similar programs</p> <p>Share of management (adm. and coordination costs) of total research costs; benchmarking against other CRPs</p> <p>Review and comparisons of costs incurred in organizing conferences and meetings</p>	
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<p><i>Financial and human resources and administrative processes</i></p>	<p>Have financial and human resources been made available as and when needed to ensure timely completion of planned activities?</p> <p>Is there a flexible and transparent process and guidelines for budget allocation and adjusting to programme priorities and availability of funding? How have these been followed?</p> <p>Have financial reporting demands increased after the Reform?</p> <p>What transaction costs have been incurred by the Centres (for planning, meetings, review etc.) and are these reasonable?</p>	<p>Quantitative summary and a qualitative description of CRP6 staff by agency/component</p> <p>Comparison of budget projections vs. expenditures (consolidated and disaggregated)</p>	<p>Financial planning/budgeting guidelines, annual budget plans and actual expenditures</p> <p>HRD plans</p> <p>Interviews of CRP6 management, representatives of partner organizations</p> <p>Audit reports</p>
<p><i>Partnership management</i></p>	<p>Is the categorisation of partnerships into research, policy and practitioner, and knowledge-sharing partners conducive to developing relevant research agenda and enhancing impacts?</p> <p>Is the program's organizational structure and choice of partnerships still appropriate to achieve its aims on an appropriate scale?</p> <p>To what extent these partners have influenced or can influence the formulation of research problems and impact pathways?</p> <p>Is the whole greater than the sum of its parts in the execution of the established partnerships, i.e. what <i>new</i> have these partnerships created or are likely to create?</p>	<p>Partner mapping by component: role and importance. Particular emphasis will be given in the assessment of the partnership with CIRAD.</p> <p>Review of partnership strategy and its implementation, and its role in the impact pathways</p> <p>Identification of most critical partnerships</p> <p>Review of incremental contribution of key</p>	<p>CRP6 proposal;</p> <p>Interviews of CRP6 management, representatives of partner organizations</p> <p>Other CRP proposals</p> <p>Interviews of management of other (potentially) linked CRPs</p> <p>Expert interviews in various international organizations, and representatives of civil society and private sector organizations</p>

	<p>To what extent policy and practitioner and knowledge-sharing partners have been able to leverage value-added in terms of funding and bringing complementary research skills and approaches?</p> <p>To what extent has CRP6 succeeded in engaging relevant policy and practitioner partners which are in a position to impact global or regional negotiations or national policy and strategy processes such as REDD+ or National Forestry Program (NFP)?</p> <p>To what extent has CRP6 succeeded in engaging relevant knowledge-sharing partners with effective outreach considering the CGIAR’s strategic and CRP6 objectives?</p> <p>To what extent have the established governance arrangements and working modalities facilitated effective participation of partners? How could partnership strategy and working modalities be improved?</p> <p>Is maximum use being made of the potential offered by internal partnerships and collaboration with other CRPs especially those dealing with agriculture, climate?</p> <p>How effective has CRP6 been in working with the non-governmental partners, e.g. INGOs, NGOs and the private sector?</p>	<p>partnerships</p> <p>Extent and quality of partnerships with civil society and the private sector</p>	
<i>Monitoring and evaluation</i>	What progress has been made in developing and implementing a sufficiently elaborated,	Review of progress made in developing	CRP6 proposal

	<p>relevant and efficient evaluation strategy, approach and a monitoring, evaluation and impact assessment plan?</p> <p>Are performance indicators built into a logical chain of research inputs, outputs, outcomes and impacts?</p> <p>Are research outcomes and IDOs in the various components and themes defined in such a way that it is easy to develop measurable indicators, incl. markers to indicate progress? Have adequate baselines been developed?</p> <p>Is management monitoring and reporting systematically and the progress in achieving the planned research outputs and outcomes and is this information being fed into management decision-making and into learning?</p> <p>To what extent are the monitoring systems effectively assessing impacts on poor, vulnerable and disadvantaged groups?</p> <p>What has been the quality of the design, implementation, and utilization as well degree of consistency of individual research project-level M&E, use of indicators and methods.</p> <p>Does the monitoring system provide adequate data on cost and resource use to enable assessment of the cost-efficiency of the CRP6 and its individual components or research programs/projects?</p>	<p>more detailed impact pathways and related, and quality of indicators by component</p> <p>Consistency of the use of indicators across components and themes</p> <p>Review of a sample of individual research impact pathways</p> <p>Allocation of resources for developing new methods to monitor delivery of critical impacts</p> <p>Review of baseline data systems</p> <p>Participation of partners in the design and implementation of M&E</p>	<p>CGIAR SRF</p> <p>Monitoring, Evaluation, and Impact Assessment Strategy for CRP6</p> <p>Sample research plans</p> <p>Selected baseline data set</p>
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	<p>To what extent is CRP6 monitoring the performance related to co-operation with key partners and policy-makers, and to communication and dissemination at different levels?</p>		
<p>IV Impact</p>			
	<p>Does the program have clearly specified, logical, and realistic impact pathways and associated TOC, based on valid assumptions, for each of its five components and cross-cutting themes?</p> <p>Are the outcomes and impacts and related indicators specified in such a manner that they can be clearly linked to delivery of planned outputs and CGIAR goals,</p> <p>Is there evidence on trying systematically to disaggregate the potential impacts according to different beneficiary groups, e.g. by gender and wealth status?</p> <p>Is there a clear strategy, supported by adequate resources, and mechanisms for promoting the uptake of technologies and the dissemination and utilization of the research outputs?</p> <p>How effectively new information is delivered through communication, extension and technology transfer?</p> <p>To what extent have the developed approaches, methods, technologies and model been used</p>	<p>Critical review of quality CRP6 impact pathways and related TOC, including possible construction of</p> <p>Assessment of explicit and implied links between CRP6 and CGIAR SRF impacts</p> <p><i>Ex ante</i> identification of most critical impact pathways from perspective of contributions to informing international negotiations and global/regional policy processes and having scale impacts on sustainable forest management, conservation of biodiversity and carbon stocks as well as</p>	<p>CRP& proposal and its impact pathways</p> <p>New more detailed component and research program pathways descriptions</p> <p>Available impact assessment reports</p> <p>Annual CRP6 reports</p> <p>Interviews of experts relevant international organizations/processes/networks, and representatives of relevant civil society and private sector organizations</p>

	<p>and built on by others? Have they been adopted by the intended beneficiaries and on what scale?</p> <p>To what extent can CRP6 be expected to influence international, regional or national negotiation, policy and planning processes, and development of best practices of different organisations?</p> <p>Is there any evidence on how research has benefited either directly or indirectly women and poor, and vulnerable and marginalized groups in general?</p> <p>Are any unintended or unexpected impacts and risks foreseen for the program?</p>	<p>improving people' livelihoods</p> <p>Assessing comprehensiveness and validity of assumptions</p> <p>High quality evidences of outcomes and impacts from research projects (for “ transferred research”)</p>	
V Sustainability			
	<p>Are budgeting projections realistic to sustain financing the planned program? How is the financing of the sentinel landscape research to be secured over time?</p> <p>Are partners adequately incentivized to continue contributing effectively to the program implementation?</p> <p>Is enough attention paid to capacity development and different levels to enhance sustainability</p>	<p>Review of financing plans for CRP& as a whole and by component</p> <p>Long-term financing arrangements for sentinel landscape</p> <p>Assessment of the contributions to capacity strengthening</p>	<p>Desk review of budgets</p> <p>Interviews of CRP& management staff, Component Implementation Team Leaders</p> <p>Interviews of partner organizations</p> <p>Case studies</p>
VI Quality of Science			

<p><i>Inputs and processes to ensure quality of science</i></p>	<p>Is CRP6 research adequately informed by an existing body of knowledge while adding innovative elements?</p> <p>To what extent CRP6 has potential to deliver something innovative and transformational in terms of research strategies/approaches and operational models?</p> <p>Are research approaches and questions clearly framed with adequate explanation of alternatives considered?</p> <p>Does the adopted forest cover and land-use transition framework provide a relevant framework for organizing and structuring work?</p> <p>To what extent can the proposed sentinel landscape approach provide a relevant and innovative research framework? How could it be developed to generate relevant international public goods effectively?</p> <p>Are the researchers well-qualified to undertake the work?</p> <p>Is there a system for <i>ex ante</i> peer review of research? Are different perspectives adequately represented in this? Do reviewers have sufficient independence to be able to make critical recommendations? Are the recommendations of peer review been adequately implemented?</p>	<p>Review of CRP6 framework for enhancing relevance and quality of science</p> <p>Review of quality and independence of Scientific and Stakeholder Advisory Committee (SSAC)</p> <p>Review of research performance systems and their application</p> <p>Assessment of distributed leadership strategy</p> <p>Use of self-assessments vs. internally managed or totally external peer reviews</p> <p>Use of expert panels and the degree of their independence</p> <p>Use of periodic CRP6 meetings</p> <p>Review of the relevance and likely effectiveness of the sentinel landscape</p>	<p>Quality of science controls systems of CGIAR, CRP6 and partner organizations</p> <p>CRP6 performance review system</p> <p>Interviews of CGIAR and CRP6 staff</p> <p>Expert reviews in the scientific community, incl. ISPC</p> <p>Available <i>ex ante</i> and <i>ex post</i> reviews</p>
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	<p>Are management systems tracking progress and proposing adjustments to research as necessary?</p> <p>Is there a system for publishing or at minimum documenting 'negative' results?</p> <p>Do publications directed at scientific peers clearly and objectively explain the reasoning behind the research, the alternatives considered, the methods, data and analysis in a way which would allow others to repeat the research if necessary?</p>	<p>approach</p> <p>Review of the relevance and likely effectiveness of the forest transition approach</p>	
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