

# Background, Roles and Responsibilities

for CRP Commissioned Evaluations (CCEE) for the following CRPs: A4NH; Grain Legumes; Humidtropics; Dryland Systems, Dryland Cereals



Independent  
Evaluation  
Arrangement

In the CGIAR, the Independent Evaluation Arrangement (IEA) Office is responsible for system-level external evaluations. The main mandate of the IEA is to lead the implementation of the CGIAR Policy for Independent External Evaluations, through the conduct of strategic evaluations of the CRPs and the institutional elements of the CGIAR and through the development of a coordinated, harmonized and cost-effective evaluation system in the CGIAR.

In planning for the evaluations, IEA develops, in consultation with the Consortium, a work plan for review and approval by the Fund Council. The Fund Council, in full agreement with the Consortium Board, decided at its meeting in November 2013, that:

"..the call for the second round of CGIAR Research Programs (CRPs) and full proposal development should not be initiated until after the Mid-Term Review has been completed and all current CRPs have undergone *some form of external evaluation*. (italics added) The advantage of this approach is that lessons learned from the first round of CRPs, as well as the larger reform process, can be fed into the development of the second generation of CGIAR Research Programs. "

The IEA final approved work plan included the completion of 10 CRP evaluations by the end of 2015. For the remaining five CRPs that would not undergo a full IEA-commissioned CRP evaluation, the IEA committed to providing a framework and methodological support to the CRPs to conduct self-assessments on progress and to verify the continued validity of the CRP planned impact pathways:

To assist the CRPs in initiating the process, IEA prepared and shared a Common Framework document. The framework provided the background, timeline, modalities and potential approaches. This was followed by a meeting of CRP Directors and evaluation focal points for the 5 CRPs held in Washington DC (June 26-27), with discussions among the five CRPs on the focus of evaluations and potential ways forward. The CRP Directors came to a clear decision to undertake CRP commissioned evaluations with advice and quality assurance by the IEA. The draft report of the evaluations would be available in sufficient time to feed into the design of proposals in response to the second call in 2015 and the final report to be available to the Consortium and Fund Council to assist them in their consideration of the proposals.

Depending on the nature of the CRP, the stakeholders involved, and the resources available for the evaluations, there is considerable flexibility for each CRP to design its evaluation as it sees fit. However, to ensure consistency across the 5 CRP evaluations, the following elements are considered mandatory:

## Background, Roles and Responsibilities for 5 CRP evaluations

1. Use the standard IEA evaluation criteria (<http://iea.cgiar.org/publications> )
2. Establish an Oversight Group to ensure that the evaluation is independently conducted and meets the needs of CRP management and governance<sup>1</sup>
3. Ensure an open and in as far as possible competitive and documented consultant selection and recruitment process and avoiding consultants who have a clear conflict of interest
4. Make sure there is a rationale for sample selection of countries, projects and activities in the scope of the evaluation to avoid bias in selection
5. Ensure that a range of different types of stakeholder voices are heard, while recognizing practical limits on the numbers who can be engaged
6. Assure quality through the Oversight Group and making use of the quality assurance system provided by the IEA
7. Ensure the completion of a Management Response to the evaluation.
8. Make the evaluation report and the Management Response publically available
9. Complete and submit the evaluation to the Fund Council and Consortium Board before end of 2015

### IEA Support

The IEA will provide:

- Guidance note for CRP commissioned Evaluations (available on IEA website: <http://iea.cgiar.org/sites/default/files/G2.pdf>)
- Other reference material for the commissioning of evaluations can be found online (Evaluation Standards, including Glossary of Evaluation Terms can all be accessed online: <http://iea.cgiar.org/publications?qt-pubqtab=1#qt-pubqtab>).
- A support Consultant to work with and advise the five CRP evaluation focal points
- Quality assurance advice at each draft stage of the evaluation process - subject to the necessary documentation being provided to the IEA in draft
- In order to satisfy the requirement of the Fund Council, a final quality validation report or summary from independent quality validation reviewers who have not been involved in the provision of quality assurance advice.

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<sup>1</sup> The requirement to include an Oversight Group for the evaluation was later modified as per the IEA Guidance Note for CRP-commissioned external evaluations, which states: CCEEs are commissioned by CRP management, managed by a CRP staff member specifically provided with the authority and independence to manage evaluations, and overseen by an oversight body, which may be set up specifically for the evaluation or is an existing body of the CRP or the lead Center (accessible online: <http://iea.cgiar.org/sites/default/files/G2.pdf>)

## Background, Roles and Responsibilities for 5 CRP evaluations

The table provides detail of the roles of responsibilities of IEA and the CRPs

IEA Support	
<p><b>IEA Quality Assurance Support Consultant(s)</b></p> <p><b>(selected by IEA)</b></p>	<ul style="list-style-type: none"> <li>▪ Serve as a main point of contact for evaluation focal points for all five CRPs in the development and implementation of the evaluations Provide advice to the CRPs with regard to: planning, implementation, and methodology, before and during the process</li> <li>▪ Assist and provide feedback to CRPs in the development of Terms of Reference for the commissioning of evaluations/evaluators; and selection of team, ensuring a commonality of scope for all five CRPs</li> <li>▪ Provide IEA evaluation standards and guidelines and other reference material as needed to the evaluation consultants</li> <li>▪ Provide support and guidance on methodology and quality support on each major step and deliverable (Terms of Reference, Inception Report, Draft Report and Final Report)</li> <li>▪ Work with CRPs in implementing guidance for improving and ensuring high quality evaluations and consistency across the five CRPs</li> <li>▪ Participate, as needed in evaluation oversight group</li> <li>▪ Provide Quality Assurance Advice on draft elements of each evaluation as follows:               <ul style="list-style-type: none"> <li>○ Management and governance</li> <li>○ Terms of reference for the evaluation</li> <li>○ Evaluation team selection and makeup</li> <li>○ Inception Report submitted by the evaluation team leader</li> <li>○ Draft final Report</li> <li>○ Management/governance response to final report</li> </ul> </li> </ul> <p>During the draft final report quality validation review process (see below), the Quality Assurance support consultants will continue to be a resource for the CRP evaluation focal points and team members, as needed.</p>
<p><b>Quality Validation Panel</b></p> <p><b>(selected by IEA)</b></p>	<p>The final evaluation report will undergo a Quality Validation review. The IEA will set up a review team consisting of independent senior evaluation experts who will provide a summary report on the quality of the evaluation processes and final report.</p> <p><b><u>Draft final report stage:</u></b></p> <p>In coordination with IEA, the quality validation review panel will review the final draft evaluation report and submit their comments and quality assurance feedback to the evaluation team on the following main areas:</p> <ul style="list-style-type: none"> <li>○ methodological design used and approach applied (credible, ethical, consistent, representative, applies triangulation and identifies any divergent views or data conflicts transparently as well as deficiencies in methods)</li> <li>○ Evaluation questions adequately addressing the questions formulated in the ToRs and inception report</li> <li>○ Findings and conclusions being comprehensive and based on</li> </ul>

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	<p>evidence</p> <ul style="list-style-type: none"> <li>○ Recommendations that flow from the findings and are precise, relevant and actionable, providing alternatives where appropriate and identifying responsibilities, resources, and the timeframe for implementation</li> </ul> <p><b>Final report stage:</b> Provide a quality validation summary statement of the evaluation report, to be submitted to the CRP Management and the Fund Council. The quality assurance validation statement will summarize the quality assurance aspects of the evaluation (processes and outputs), including:</p> <ol style="list-style-type: none"> <li>1. Management and governance of the evaluation</li> <li>2. Terms of reference of evaluation</li> <li>3. Evaluation team selection and makeup</li> <li>4. Inception Report (including evaluation matrix, methodology, data analysis)</li> <li>5. Final Report</li> </ol> <p>The Quality Assurance summary statement will also provide advice on implications for future evaluation work, whether commissioned by the CRP or by IEA.</p>
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### Responsibilities of the CRP

#### CRP Responsibility - The CRP commissions the evaluation and manages it for independence and quality

<p><b>Evaluation Oversight Group</b></p> <p>(see footnote 1 above)</p>	<p>The Oversight Group oversees the evaluation ensuring it meets the needs of management and governance; protecting its independence and quality; and ensuring the availability of the evaluation budget. Engages periodically to:</p> <ul style="list-style-type: none"> <li>▪ Approve the Terms of Reference, including the prioritization of the evaluation questions</li> <li>▪ Comment on the selection of countries and projects and stakeholders for interview</li> <li>▪ Approve the selection of the consultants</li> <li>▪ Provide the Evaluation Manager and consultants with key contacts in their stakeholder group and important documents</li> <li>▪ Provide feedback on all evaluation products and outputs, including the inception and draft reports</li> <li>▪ Protects the impartiality of the consultants' findings and conclusions</li> <li>▪ Maintain communication with stakeholder groups, fairly represent their views, and publicize the reports to their own stakeholder group</li> <li>▪ Accept and take ownership of the evaluation report</li> <li>▪ Approve the management response (which may need subsequent ratification by participating Center Directors-General)</li> </ul>
<p><b>CRP Director</b></p>	<ul style="list-style-type: none"> <li>▪ Assign adequate human and financial resources from within the CRP to manage, support and fund the evaluation, including support to the evaluation consultants</li> <li>▪ Take the lead on preparation of the Management Response</li> </ul>

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	<ul style="list-style-type: none"> <li>Ensure the results of the evaluation are utilized</li> </ul>
<b>Evaluation Manager - Reporting to CRP Evaluation Oversight Group</b>  <b>(selected by CRP)</b>	<ul style="list-style-type: none"> <li>Manage consultation with the CRP members during the evaluation process.</li> <li>Summarize the CRP as it currently stands (design, structures and systems put in place, inputs, outputs), noting any changes since the CRP proposal was approved by the FC.</li> <li>Plan and manage the design of the evaluation, prepare Terms of Reference for Evaluation and individual consultants</li> <li>Commission and manage the external evaluation consultants</li> <li>Review any draft products from consultants; assemble comments to the consultants from stakeholders</li> <li>Manage and oversee any support team member assisting with the CRP data and information collection and respond to requests from consultants</li> <li>Brief and support the evaluation consultants, providing documents, data, contact details, and introductions as necessary, with full disclosure</li> <li>Introduce the consultants to key stakeholders by email/face-to-face</li> <li>Act as follow point for information requests from consultants to CRP researchers and partners</li> <li>Act as the primary point of contact with the consultants</li> <li>Ensure that the consultants receive logistical support, including for travel if necessary</li> <li>Approve stage and final payments, on receipt of satisfactory products, and according to the consultants contract</li> <li>Develop, support/ manage and act as Secretary to the CRP Evaluation Oversight Group in managing communications, proposing meeting agendas, meeting logistics, producing meeting minutes</li> <li>Submit the final evaluation report to the CRP Governance Body and facilitate the completion of the Management Response to the evaluation , setting out the CRPs response and planned actions based on the evaluation</li> <li>Submit final evaluation and CRP Management Response to Consortium Board by the date agreed</li> <li>Manage feedback processes including communication events</li> </ul>
<b>Independent Evaluation Team - who are alone responsible for the findings and recommendations</b>	
<b>Evaluation Team Leader</b>	<p>Independent expert, with evaluation experience and skills, and good team leader qualities.</p> <ul style="list-style-type: none"> <li>Further develop the evaluation design as lead author of the inception report</li> <li>Manage the evaluation team</li> <li>Finalize and submit all evaluation products and outputs</li> <li>Act as lead author and main presenter of findings and conclusions</li> <li>Principal point of liaison with the Evaluation Manager and CRP management</li> </ul>
<b>Evaluation team</b>	<p>Independent team of consultants working to plan and conduct the evaluation, gathering and analyzing information and views, and contributing to written reports and presentations of findings, under the direction of the Team Leader.</p>