

# TERMS OF REFERENCE

Evaluation of Capacity Development in CGIAR  
March 2016



Independent  
Evaluation  
Arrangement

## 1. Background

### 1.1 Rationale and context of the Evaluation

In CGIAR, agricultural research for development is implemented by 15 research centers and their partners through CGIAR Research Programs (CRPs). The 2016-2030 CGIAR Strategy and Results Framework (SRF) guides the work of the CGIAR through the CRPs. The SRF identifies three strategic goals of system level outcomes (SLOs): i) reduced rural poverty; ii) improved food and nutrition security for health; and iii) improved natural resources systems and ecosystems services. A set of common Intermediate Development Outcomes (IDOs) link CRP-level targets to the system-level objectives (SLOs), framing the operational results framework of each CRP within the System as a whole. Below this level are the Sub-IDOs that reflect adoption and uptake by immediate users and beneficiaries such as national researchers and policy makers.

The Independent Evaluation Arrangement (IEA) of the CGIAR is responsible for independent external evaluations, which provide accountability, support to decision-making, and lessons for improving quality and effectiveness of agricultural research for development outcomes. IEA is also responsible for developing a coordinated, harmonized and cost-effective evaluation system in the CGIAR.

IEA's first Rolling Evaluation Work Plan (REWP) approved in November 2013 by the Fund Council, scheduled three thematic evaluations in 2016. One of them is the evaluation of Capacity Development (CD) in CGIAR.

### 1.2 Capacity Development in CGIAR

#### History

Capacity development (CD) in CGIAR is defined as:

non-linear complex process of change, internally or externally initiated, that occurs in and between individuals, organizations, institutions and their networks that strengthens

linkages and the (collective) capabilities of systems to innovate, deliver development impact and create (social) value. This process takes place within an overall environment that requires constant adaptation to internal and external contextual changes.<sup>1</sup>

### Capacity development in CGIAR: 1970-2006

In CGIAR, the concept of CD and its implementation has evolved over the years. Throughout the 1970s -80s, many CGIAR Centers built strong training units. The units developed and delivered training to enhance developing country organizations and research networks, mostly National Agriculture Research Systems (NARS), to be more effective in independently and collaboratively conducting research. In most cases, the Centers' main purpose was to improve capacity in a particular area of their own research.

The reduced unrestricted funding for CGIAR in the 1990s led to different capacity development approaches across the Centers. In some Centers, capacity development work was incorporated under the new knowledge management teams; in others, it became part of communications; while for other Centers, it ceased as a discrete function altogether.

The report "Evaluation of Impact and Training in the CGIAR"<sup>2</sup>, commissioned by the Science Council Secretariat<sup>3</sup> in 2006, provides insights into the context that has influenced CD in the decade preceding the study:

The most important single factor that has affected the evolution of training has been the increase in project funding and the reduction in unrestricted funds available for training *per se*. This, as consequence, has lowered the yield on CGIAR's large investment in training and learning...

A paper commissioned by the Consortium Office in 2013 reports that starting in the 1990s "Centers began relying on the ability of their scientists to attract funding for training within their research projects, and responsibility for training itself was passed onto national or regional partners. This latter aspect on the other hand, allowed the Centers to be more connected with field activities, involving extension, farmer and market capacities"<sup>4</sup>.

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<sup>1</sup>This definition is in contrast to a linear definition of capacity building in which individual human resources increase competencies through training and skills development. Glossary-Capacity Development Framework for the 2nd Round of CGIAR Research Programs, CGIAR Consortium, 2015.

<sup>2</sup> Evaluation of Impact and Training in the CGIAR, Science Council, 2006  
<http://www.fao.org/docrep/009/a0671e/a0671e00.htm>

<sup>3</sup> Following the CGIAR reform, the Science Council of CGIAR became the Independent Science and Partnership Council (ISPC) of CGIAR.

<sup>4</sup> Lessons learned and ways forward on CGIAR Capacity Development: A discussion paper. 2013 Staiger, S.; Dror, I.; Babu, S.; Rudebjer, P.; Kosina, P.; Diop, NN.; Maru, J. and Bamba, Z. This paper was commissioned by the Consortium Office to clarify the role that CGIAR might play in CD for Agriculture Research for Development in the future.

In the 2000s, as Centers moved into the direction of what is now generally recognized “Capacity Development” work, they widened their focus to include institutional and organizational impact. Various participatory approaches were developed, in which users of agricultural research products and services learn together through partnerships and stakeholder engagement, aiming to increase the chances of research results being put to use<sup>5</sup>.

During this time, the International Service for National Agricultural Research (ISNAR) served as the only institution in the CGIAR whose specific agenda was capacity building for Agriculture Research for Development targeting agricultural researchers and research managers, rather than agricultural research. The fourth External Programme and Management Review (EPMR) of ISNAR<sup>6</sup> concluded that ISNAR had only a modest contribution to research, and that its performance was below required standards, initiating a process that led up to the closure of ISNAR as an independent organization. ISNAR’s policy research was transferred to IFPRI, while its research and service activities were decentralized to developing countries with the objective of developing capacity in the regional and sub-regional organizations to take over its functions within five years.

#### **Capacity development in the new CGIAR – 2008 onwards**

As agricultural research began to focus more on development, CGIAR Centers and researchers looked for improved ways to increase adoptions and uptake, and reach a larger number of end-users. In the run up to the first Global Conference on Agricultural Research for Development (GCARD) organized by GFAR<sup>7</sup> and the CGIAR in 2010, contributions and inputs from stakeholders provided ideas and approaches for CD. These were captured in the GCARD Roadmap, which detailed an “inclusive, rolling process of reform and capacity development that aims to mobilize the full power of agricultural knowledge and innovation”. The roadmap further stated that to achieve agriculture innovation, “it is essential to establish true and effective partnerships between research and those it serves, increase investments to meet the huge challenges ahead and foster greater capacities to generate, share and make use of agricultural knowledge”<sup>8</sup>.

The 2016–2030 CGIAR Strategy and Results Framework highlights capacity development as one of the four crosscutting themes that contribute to the achievement of the SLOs: Climate Change, Gender and Youth, Policy and Institutions, and Capacity Development. CD is considered necessary in all fields of agri-food research, especially in new areas such as data management, landscape analysis and climate-

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<sup>5</sup> Ibid.

<sup>6</sup> Fourth External Programme and Management Review (EPMR) of the International Service for National Agricultural Research (ISNAR) interim Science Council Secretariat and Food and Agriculture Organization of the United Nations (FAO), July 2002.

<sup>7</sup> Global Forum for Agriculture Research. One of the key roles GFAR sets for itself is Institutional Capacity Development

<sup>8</sup> The GCARD Road Map: Transforming Agricultural Research for Development (AR4D) Systems for Global Impact ([http://www.fao.org/docs/eims/upload/290017/the\\_gc\\_card\\_road\\_map\\_finalized.pdf](http://www.fao.org/docs/eims/upload/290017/the_gc_card_road_map_finalized.pdf))

smart agriculture with the aim of enhancing innovation throughout the agri-food system, including farmers and other groups along the value-chain. In the SRF, CD is linked to Intermediate Development Outcomes (IDOs) and sub-IDOs, as illustrated in the graph below.

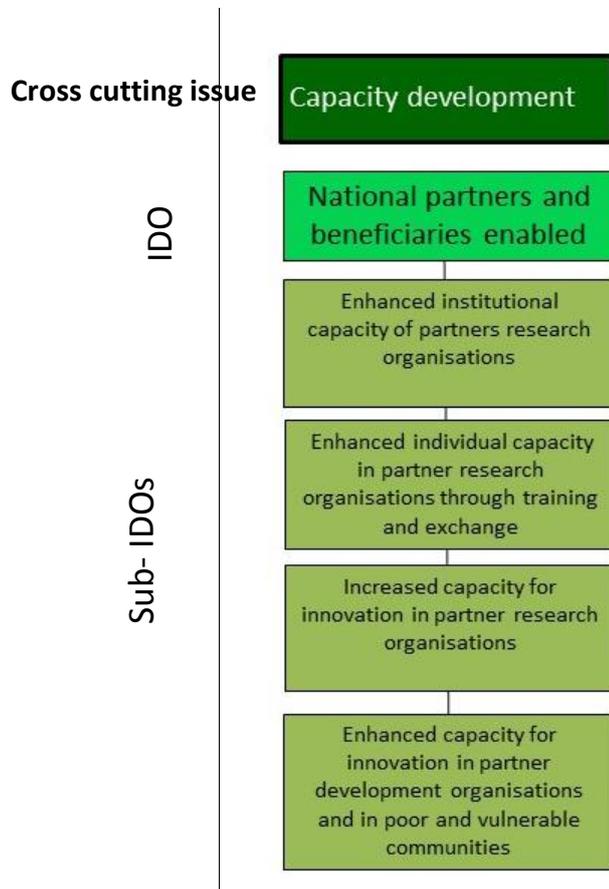


Figure 1: SRF cross-cutting issues and outcomes at the Intermediate Development Outcome (IDO) and sub-IDO levels – Capacity Development (page 31, CGIAR Strategy and Results Framework 2016 –2030).

Towards the end of 2012, a CD working group meeting discussed ways, means and pathways for advancing CD within CGIAR, leading to the development of the CGIAR CapDev Community of Practice (CoP) to operationalize CD across the CGIAR.

The CapDev CoP meetings helped take stock of the various CD activities carried out across the CGIAR, and in particular through the CRPs. In 2015, the CapDev CoP published a Capacity Development Framework for the 2<sup>nd</sup> Round of CGIAR Research Programs to provide guidance on how to plan and implement CD activities, and to incorporate CD into the proposals for the second generation CRPs. The framework proposes nine key elements of CD that each CRP should adapt and utilize according to its needs and its particular setting, guided by the requirement to attain the crosscutting Capacity Development IDO. The nine CD elements were:

- Capacity needs assessment and intervention strategy design
- Design and delivery of innovative learning materials and approaches
- Develop CRPs and Centers' capacity to partner
- Developing future research leaders through fellowships
- Gender-sensitive approaches throughout Capacity Development
- Institutional strengthening
- Monitoring and evaluation of Capacity Development
- Organizational development
- Research on Capacity Development

The framework document advocates for the capacity to learn, innovate and adapt along impact pathways framed by Theories of Change (ToC) of CRPs, with discussion of how these can be considered as part of the overall Capacity Development process. In the framework, CD is considered to be an effective vehicle for sustainable development only if it is embedded within the broader systems and processes i.e. CRPs' ToC, Impact Pathways (IPs) and the NARS that provide the context and strategic framework for its implementation.

Each of the CRPs is currently developing their respective ToC for the second round phase of CRPs. The institutional arrangements and management structures of Capacity Development at the level of CRPs and Centers are not addressed here, though they will be closely looked at during the evaluation.

## **2. Evaluation Purpose and Stakeholders**

### **2.1 Evaluation purpose**

At a time when the first phase of CRPs is ending, the evaluation's primary purpose is to help the CGIAR Centers, CRPs, and the CGIAR system to improve the relevance, comparative advantage, effectiveness and efficiency of their Capacity Development activities. It will do so by taking stock of CD activities and efforts, by establishing transparency and reviewing their performance, and by collecting lessons learned on which CD interventions have worked, which have not, and why. The evaluation will also have as secondary purpose to provide essential evaluative information to CGIAR partners and the wider expert community.

Importantly, this evaluation will assess where the CGIAR's efforts are best placed given its comparative advantage and limited resources, including how the CGIAR is positioned to work on developing capacities for national development institutions and their management, and what is its comparative advantage relative to other organizations on delivering Capacity Development.

It will be primarily forward looking and will provide lessons and recommendations for the future. The formative component will focus on the strategy, design, implementation of CD activities, targets, ToC

and impact pathways while accountability will mostly relate to performance of past and continuing CD activities.

## 2.2 Evaluation stakeholders

Capacity development concerns a wide range of stakeholders. Stakeholders of this evaluation include CGIAR, Center and CRP management and staff, partners (including NARS that are both partners and beneficiaries), CGIAR Consortium Office and Board (soon to be System Office), the CGIAR Fund Council (soon to be System Council) and the CapDev Community of practice. CGIAR Resource partners, capacity development implementing partners together with beneficiaries, including farmers, will also be among the stakeholders of this evaluation.

These stakeholders will be consulted and engaged throughout the evaluation through various consultative mechanisms.

### Stakeholders Table

Type of stakeholder	Role	Interest in evaluation
<b>Primary</b>		
CGIAR Fund Council (soon to be System Council)	Oversight on use of funds for CRP	Accountability; CRP performance; Decision making for resource allocation
CGIAR Consortium and Board (soon to be System Office)	Setting policy and research strategy; Ensuring accountability; Mobilizing resources	Lessons learned to increase the effectiveness and relevance of the CD work of the CGIAR; Lessons learned to increase the efficiency and accountability of CD in the CGIAR; Comparative Advantage.
CRPs Management and Staff	Management of the CRP	Lessons learned to increase performance of CRP on CD
CGIAR Centers and Boards	Oversight of CRP activities carried out by its Center; Programme Management; oversight of non-CRP related activities	Performance, relevance, effectiveness, impact of CD; Comparative advantage.
CapDev CoP	Sharing information and knowledge, and advocating for the use of CD	Lessons learned to increase the effectiveness and relevance of the CD work of the CGIAR and the CapDev CoP.
GFAR	Influencing strategies setting; Bringing demand perspective	Lessons learned, relevance, effectiveness

<b>Secondary</b>		
Donors of bilateral projects	Funding source	Accountability CRP/Center performance; Decision making for resource allocation.
<b>CD planning and implementation partners</b>		
Research partners (NARS)	Target of CD interventions Implementing Partners	Performance, relevance, effectiveness, impact of CD
Development partners (NGOs, Universities)	Target of CD interventions Implementing Partners	Performance, relevance, effectiveness, impact of CD
<b>Beneficiaries</b>		
Beneficiaries (ARIs, universities, extension systems, development organizations, NGOs, farmer associations)	People participating in CD activities	Performance, relevance, effectiveness, impact of CD

### 3. Evaluation Scope

The evaluation will address all CD activities carried out within the framework of CRPs and Centers, thus including activities funded by Window 1, 2 and 3 as well as bilaterally funded projects. The evaluation will cover past CD activities since 2011, as well as planned activities. In view of the long time-lag between application and outcomes of some CD interventions, older interventions will be included as well, to derive targeted lessons learned.

The evaluation will include a mapping of CD activities, as described in the Methodology section of this document. CD at multiple levels—individual, organizational and institutional—will be addressed; taking into account that capacity development is intended to go beyond the transfer of knowledge and skills through training. The evaluation will assess System-level as well as Centers/ CRP strategies, approaches and design of CD in CRPs at its multiple levels and the extent to which CD has been effective. The evaluation will focus on determining the availability, quality and reach of those capacities the CGIAR Centers are seeking to develop through their support and whether they have appropriate resources to develop these capacities.

Relevance, effectiveness, sustainability and efficiency of CD will be assessed as detailed in the evaluation questions further below. The evaluation will also look at whether the CGIAR has a comparative advantage in delivering capacity development relative to other national and international institutions.

The evaluation questions described in the section below have been elaborated following a literature review of capacity development frameworks, in particular the International Development Research Centre (IDRC) CD Framework, the Common Framework on Capacity Development for Agriculture

Innovation Systems (AIS) by the Partners of the Tropical Agriculture Platform (TAP), and FAO Capacity Development Framework.

Importantly, the evaluation will focus on CD targeting individuals, groups, organizations and institutions outside of the CGIAR. CD as part of internal human resource development in Centers is not covered by this evaluation.

Delineating the *evaluand* more clearly will be part of inception work carried out by the Evaluation team leader in collaboration with the IEA. To this end, it will be important to clearly define the types of activities subsumed under “CD” and the partners cooperating and benefiting from them. It will also be important to develop an approach towards evaluating CD elements that are integrated and embedded within research and with gender and partnership work.

It should be noted that this evaluation will be carried out in parallel with two other thematic evaluations, on **Gender** and on **Partnerships**; collaborations and synergies will be therefore sought to address these complementary topics, avoiding overlaps and duplications.

The evaluation will focus not just on the final capacity objective e.g. performance and learning outcomes, but break that down into the various new knowledge, values, attitudes and skills which are inherent components of this outcome: did the capacity development activities identify these, provide opportunities for them to be developed and enable their integration by all actors involved?

### 3.1 Evaluation Questions

The evaluation will address the evaluation criteria reported below through a set of evaluation questions. These will be refined and further elaborated during the inception phase by the evaluation team in consultation with relevant stakeholders. Ultimately, the questions should contribute to answering the overall, overarching questions:

- A. Is CGIAR’s approach towards capacity development in line with emerging good practices?
- B. What are the strengths and weaknesses of CGIAR’s work on Capacity Development?
- C. What are the critical organizational and institutional factors of success or failure?
- D. What should be the role(s) of CGIAR on Capacity Development in the future?

### Relevance, Coherence and Appropriateness of Design

1. How well do CGIAR CD goals, strategies and activities correspond to local, national, regional and global CD needs?

2. Is CGIAR CD strategy and activities at System, Center and CRP level in line with international good practices in CD?
3. How coherent and consistent are CGIAR CD-related goals and objectives on different levels (SLO, IDO, Sub-IDO, Center, CRP and Flagship) with each other?
4. Are the CD-related ToCs at System, CRP and Flagship level logical? Are underlying assumptions supported by evidence?
5. How well is CD integrated with research in planning and implementation?

#### **Comparative Advantage**

6. To what extent does the CGIAR have a comparative advantage in delivering CD towards NARS and, more generally, other national and sub-national partners and beneficiaries targeted by CD efforts, in relation to other providers?

#### **Likely Effectiveness and Sustainability**

7. To what results and changes have past CD activities contributed? What are the likely contributions of current CD activities? What is the significance of these contributions relative to overall CRP and Center goals?
8. What are the factors contributing to and/or constraining the effectiveness of CD?
9. How sustainable have CD results been and/or are likely to be? And how has CD contributed to overall sustainability of the CGIARs Research for Development?

#### **Resources, Management and Efficiency**

10. Are financial resources and human resources (in particular skill sets) adequate to implement CD strategy and activities?
11. How efficiently is CD organized at CRP, Center and System level to the requirements of various CRPs and across the System? In particular are the institutional arrangements of CD (including mechanisms such as the Cap Dev CoP) adequate?
12. Are there adequate and appropriate M&E systems with and across Centers/CRPs, and the entire CGIAR System?

#### **Partnerships in CD**

13. Does the CGIAR work effectively in delivering Capacity Development activities in partnership with national and regional institutions and other agencies?
14. What institutional partnerships for CD have been most effective?

#### **Gender**

15. To what degree is gender mainstreamed in CD in the CGIAR?
16. Has gender analysis adequately informed CD program design and targeting and are gender issues incorporated in the design of CD at the three levels?

#### 4. Evaluation approach (Evaluation Framework and Methodology)

The complexity of the topic and the three level analysis (individual, organization and enabling environment) make the assessment of CD a difficult task.

There are four themes which need to be dealt with in assessing CD in CRPs and Centers:

- how CD is officially and operationally defined;
- how much and how CD is actually done;
- what factors, including CD policy or the lack of it influence the kind, quality, efficiency and effectiveness of CD activities; and
- what difference CD activities are making to reach CRPs and Centers development research mandate and partners' development goals.

The evaluation team together with IEA will develop a clear evaluation framework which builds on qualitative measures as well as systems thinking, taking into consideration needs of the individuals and organizations as well as the institutional opportunities in a complex environment.

Given the broad scope of the *evaluand* and the formative emphasis of this evaluation, a two-pronged approach will be followed that will allow on the one hand analysis across CRPs (stock-taking of efforts so far, strategies, ToC etc..) and where representativeness of evidence will be important and, on the other hand, deepening the assessment through case studies with respect to formative aspects of the evaluation (i.e. what works, what does not work and why?)

The evaluation period covers the first cycle of CRP, starting in 2011. However, the assessment of the results of past CD activities started before the CRPs and still relevant to CRP current strategies will draw lessons, including on good practices.

#### Methodology

The evaluation will use various methodologies to take stock of CD activities as well as to assess the relevance, results and the processes followed in CGIAR's CD activities, including: logic models; participatory and systems approaches; and benchmarking against good practices and lessons learned. The methodology will be described in more detail in the Inception Report and it will draw, to the extent possible, on existing studies, impact assessments, records and other data for conducting meta-analysis of available evaluative information and estimating the achievements from past research. This approach will be complemented by other means such as gathering perception information and stakeholder interviews. The forward-looking component will review, *inter alia*, program design and

processes, progress made so far towards results, gender mainstreaming, governance and partnership aspects.

The evaluation will use case studies of CD programs/ interventions, selected according to such criteria as significance of the issue, duration, and resources committed to them. Case studies can be used to explore also how cross-cutting themes, such as Gender and Partnerships have been addressed.

Tracking studies for selected CD interventions and their participants, especially of training activities will be also considered as methodological tool in the conduct of the evaluation.

Given the thematic focus of this evaluation, the team will find cost-effective modalities to engage with all stakeholders, as mentioned in the conduct of evaluation section of the ToRs.

The evaluation process will ensure that in developing findings, conclusions and recommendations a representative range of viewpoints are captured from stakeholders through broad consultation. The evaluation team ensures that all findings are informed by evidence. This implies that findings are corroborated through triangulation, whenever possible, and that the objectivity and reliability of presented evidence is critically reviewed.

#### **4.1 Main limitations and constraints of the Evaluation**

##### **Measurability of outcomes**

Evaluating CD implies looking at changes, attitudes, skills and behaviors which are largely qualitative in nature: human and organizational CD are increasingly understood as embedded in processes of change that have short- and long-term dimensions. The long-term dimension of CD might not be detectable during the lifespan of a CD intervention and therefore this evaluation will go further back (before 2010) whenever possible, to be able to detect longer-term results of some interventions.

##### **Contribution versus attribution**

Increasingly, CD is understood as an endogenous process – or set of processes -- which, while subject to external influences, are change processes determined by those going through the change (ECDPM 2003; Morgan 2003; Lavergne 2004). Effective CD is therefore dependent on ownership of the development process and agenda by those whose capacities are being strengthened (Lavergne 2004). It is therefore somewhat problematic to talk about “CGIAR’s results” in developing capacities. The evaluation will need to seek, rather, to identify CGIAR’s (at the CRP as well as at the Center level) contributions to supporting the efforts of individuals and groups to enhance their capacities in ways that these individuals and groups determine.

Given the fact that the CGIAR has adopted a system approach to CD which has its roots in the field of social learning and innovation systems, this evaluation will need to reflect an understanding of the nature and notion of systems and systemic change that are relevant to CRPs and Centers’ work.

In addition, learning can occur outside of formal instruction. This contributes to add more complexity to the challenge of measuring the quality and effectiveness of CD interventions.

##### **Coverage**

The evaluation’s scope is vast, covering all CD in the CGIAR system. Given the elusive and complex nature of “capacity” and the variety of activities and interventions that fall under the term “Capacity Development”, most activities in the CGIAR can be interpreted to contribute to developing capacities. As information on planning (including financial information), implementation and results of CD interventions is not routinely assessed and tracked across all types of CD by each Center and CRP, it is expected that the evaluation will have to produce additional evaluative evidence through interviews and review of reports and databases. It is therefore understood that no systematic and detailed evaluation of all CD interventions will be possible within the time and resources allocated for this evaluation. Hence, there is need to select suitable methods to assess CD that allow representative evidence to be gathered across heterogeneous operations, stakeholder groups and target domains. The size and spread of CD interventions may limit the scope of the evaluation, which will need to select suitable methods through, for example, representative project and site sampling.

## 5. Organization and Timing of the Evaluation

The evaluation is scheduled to take place between March and December 2016. A preparatory phase will commence in December 2015 with the selection of the team leader. The evaluation proper will consist of an inception phase (March), an inquiry phase (March-August) and a reporting phase (September-December).

Phase	Period	Main outputs	Responsibility
<b>Preparatory Phase</b>	Dec 2015 – Feb 2016	Final ToRs evaluation team recruited	IEA
<b>Inception Phase</b>	March 2016	<b>Inception Report</b>	Evaluation Team
<b>Inquiry phase</b>	March 2016 – August 2016	Various reports and analysis products as defined in Inception Report	Evaluation Team
Presentation of preliminary findings	Sep 2016	Presentation of preliminary findings Feedback from main stakeholders	Evaluation Team IEA
<b>Reporting phase</b>			
Drafting of Report	Sep 2016 – Nov 2016	<b>Draft Evaluation Report</b>	Evaluation Team
Final Evaluation Report	Dec 2016	<b>Final Evaluation Report</b>	Evaluation Team

### Preparatory Phase

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

More specifically, the IEA will carry out the following tasks:

- draft the Terms of Reference (ToRs) in consultation with key informants in the CGIAR;
- collect preliminary information and data pertaining to CD
- identify existing evaluation material relevant to the work carried out by Centers and CRPs under CD;
- prepare a synthesis of the assessment of CD in the completed CRP evaluations;
- set up a Reference Group for the evaluation; and
- select the evaluation team leader and in consultation with her/him, the evaluation team.

### **Inception phase**

The inception phase is the responsibility of the evaluation team leader with the IEA Manager. 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 information available collected during the preparatory phase;
- development of an analytical framework for the assessment of Capacity Development in the CGIAR system using Theory of Change/ Outcomes harvesting approaches, if appropriate;
- refinement of the evaluation questions and an evaluation matrix that identify means of addressing the questions, including an outline of the data collection methods/instruments, in particular selection of the case studies and preparation of the assessment framework;
- detailed specification of the evaluation timetable which includes plan for field 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 contractual basis for the team's work and one of the deliverables of the evaluation. Subject to the agreement of the Head of the IEA, adjustments can be made in a transparent fashion during evaluation implementation in the light of experience.

### **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. In line with the methodology described in paragraph 4, activities may include:

- Review, synthesis, and analysis of all documents and data pertaining to CD
- Inventory of CD activities in the CGIAR
- Expert and key stakeholder interviews to obtain their views;
- Preparation of case studies
- Visits to some selected participating CGIAR Centers, e.g. to collect information and deepen understanding of issues covered through the desk review.

Given the System-wide nature of this evaluation, the evaluation team will use the opportunity of CapDev CoP meetings, including CoP Steering Committee Meetings, and other CGIAR events to ensure access to the highest number of stakeholders in a cost-effective manner.

### **Dissemination phase**

See paragraph 5.3

### **5.1 Evaluation team composition and profile**

The evaluation team leader will have a suitable background to CD in general and the CGIAR's mandates, as well as solid experience in leading evaluations of complex programs. The team leader will be supported by a team of two experts who will among them have extensive and proven experience at international level, working for research or development agencies on issues, programs and policies related to CD interventions, preferably related to agriculture research in developing country contexts.

In addition, for questions requiring in-depth thematic and regional knowledge, Regional/Thematic Experts will be contracted to provide expert analysis on specific issues.

### **5.2 Evaluation governance/roles and responsibilities**

The evaluation will be conducted by a team of independent external experts that will be supported by thematic and regional 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 leader is responsible for submitting the deliverables as outlined in more detail below.

The IEA will be responsible for planning, initially 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 mapping of CD activities in the CGIAR. An evaluation manager supported by an evaluation analyst will provide support to the team throughout the evaluation.

A **Reference Group** may be set-up to act as sounding board representing evaluation CD expert views and inputs at key decision stages in the evaluation design and implementation.

In addition consultative groups involving representative of all Centers and CRP Management will be set up to ensure systematic and continuous dialogue between the Evaluation Team and primary stakeholders throughout the evaluation process.

The CapDev CoP Steering Committee, the Centers CRP Management and the Consortium Office will play a role in catering for the evaluation team's information needs throughout the evaluation process. They will likely provide documentation and data, access to staff for engagement with the evaluators, and information on partners and stakeholders. They will facilitate arrangement of site visits and appointments within the Centers and other stakeholders. These actors will be also responsible for giving factual feed-back on the draft evaluation report. The System Office will be responsible for preparing the management response to the final report on behalf of the Centers.

### 5.3 Deliverables and dissemination of findings

The **Inception Report**: the Inception Report, which builds on the original terms of reference for the evaluation, outlines the Team's proposed 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 evidence-based, 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.

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. Adequate **consultations** with CD stakeholders will be ensured throughout the process, with debriefings on key findings held at various stages of the evaluation.

The IEA will interact with the main stakeholders (the System Council, the System Management Board, the ISPC and the System Administrative Office) for development of a system-wide response. In such a response, action items could be identified for addressing recommendations that may be specifically targeted to specific bodies of the System or collectively across System actors. As the CGIAR is undergoing a governance reform, the details about the response on the report will be decided at a later stage. The new System Council will be the ultimate recipient of the evaluation report and the response.

The evaluation report and the response will be public documents made available to the System Council. A dissemination strategy will be developed during the evaluation process and it will also depend on the results of the governance reform.