



Humidtropics Action Areas & Sites



Humidtropics CCEE/ Inception Report

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Humidtropics, a CGIAR Research Program led by IITA, seeks to transform the lives of the rural poor in tropical America, Asia and Africa. Research organizations involved in core partnership with Humidtropics are [AVRDC](#), [Bioversity International](#), [CIAT](#), [CIP](#), [FARA](#), [icipe](#), [ICRAF](#), [ILRI](#), [IITA](#), [IWMI](#) and [WUR](#). humidtropics.cgiar.org



ACRONYMS

CAC	Central America and the Caribbean
CATIE	Centro Agronómico Tropical de Investigación y Enseñanza
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
CCEE	CRP-Commissioned External Evaluation
CGIAR	Consultative Group on International Agricultural Research
CB	CGIAR Consortium Board
FC	CGIAR Fund Council
CIALCA	Consortium of Improving Agriculture-based Livelihoods in Central Africa
CIAT	International Center for Tropical Agriculture
CIP	International Potato Center
CIRAD	French Research Center on Agricultural Research for Development
CM	Central Mekong
CO	CGIAR Consortium Office
CRP	CGIAR Research Program
ECA	East and Central Africa
FARA	Forum for Agricultural Research in Africa
FTA	CGIAR Research Program on Forests Trees and Agriculture
IAC	Independent Advisory Committee
Icipe	African Insect Science for Food and Health
ICRAF	World Agroforestry Centre
IDOs	Intermediate Development Outcomes
IEA	CGIAR Independent Evaluation Arrangement
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IWMI	International Water Management Institute
L&F	CGIAR Research Program on Livestock and Fish
MAIZE	CGIAR Research Program on Maize
QAAP	Quality Assurance Advisory Panel
SLO	System-Level Outcome
SO	Strategic Objective
SRF	Strategy and Results Framework
SRT	Strategic Research Theme
WA	West Africa
WLE	CGIAR Research Program on Water, Land and Ecosystems
WUR	Wageningen University and Research Center

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1. Introduction

1.1 Background and Institutional Context of the Humidtropics Program

Humidtropics – the CGIAR Research Program (CRP) on Integrated Systems for the humid tropics, was initiated in July 2012, and research activities began in 2013. The Program has therefore run for some two and a half years. Humidtropics is one of three “systems” CRPs developed as a result of the ongoing CGIAR reform process. Led by the International Institute of Tropical Agriculture (IITA) since its inception in July 2012, the Humidtropics program is implemented by eleven institutional program partners including AVRDC, Bioversity International, CIAT, CIP, FARA, icipe, ICRAF, IITA, ILRI, IWMI, and WUR. While the set of core partners and the overarching governance arrangements have remained the same since 2012, the program structure continues to change dynamically in response to evolving guidance from the CGIAR Consortium Office.

The goal of the Humidtropics program is to increase overall agricultural productivity while promoting ecosystem integrity, through integrated systems research and unique partnership platforms, to positively transform the lives of the rural poor smallholder farmers in the humid tropics of Africa, Asia, and the Americas. This is to be achieved through integrated systems approaches in Research for Development (R4D), with a focus on sustainable intensification and capacity to innovate, through partnerships and broad stakeholder participation. Within the context of the CGIAR, the Program aims at bringing together a number of Centers to focus and develop these integrated systems research approaches and undertakings and engage with a broader set of partners at various levels towards their implementation. The intention is to go beyond individual research action and single component focus in research. This new mode of operation brings groups of partners together to work on commonly identified challenges in a way that exceeds individual partners’ capacities for ‘systems research’ to address complex constraints and opportunities.

1.2 Governance and Management

The Humidtropics governance and management arrangements were established based on the August 2012 approved proposal and constitutes of:

A. The Oversight Institutional Arrangements

- **Consortium Board:** Contracts IITA as per Consortium-Lead Center contract, which stipulates that the Lead Center is responsible for the delivery, relevance and performance of the contract and has a conflict resolution role, should IITA fail to resolve issues with its partners.
- **Lead Center Management Board (IITA Board of Trustees):** has fiduciary and operational responsibilities for the implementation of Humidtropics and is thus fully responsible and accountable for the successful execution of the program and for its performance. The IITA Board also ensures efficient and effective engagement of the Advisory Committee
- **The Advisory Committee:** which has a major advisory role on Humidtropics on priority setting, partnerships, the strategic allocation of resources, and external linkages, to ensure that the needed set of Partners and Centers participate to achieve the goals and objectives of Humidtropics. The Advisory Committee is composed of individuals that comprise R4D expertise and insights from diverse public and private sector partners such as farmer organizations, NGOs, Private sector, IARCs, NARs, and ARIs.
- **Primary Partners:** who are selected from institutional research partners that through their mission, complementary skills, capacities and resources provide significant opportunities for greater innovation, accelerated development and greater impact of significant components of Humidtropics at international level. Initial Primary Partners included: IITA, CIAT, CIP, ILRI, ICRAF, Bioversity, icipe, IWMI, AVRDC, FARA, and WUR. In the course of executing Humidtropics, strategic alliances with new and additional primary partners were to be pursued from the NARS, ARIs, Centers, SROs or the private sectors. Each assigned a

Focal Point who is the interface for planning and reporting of the partners' work in relation to their contract.

B. Program Management Team

- **Executive Director**, Dr. Kwesi Atta-Krah, was appointed by IITA, in consultation with the Primary Partners and the Advisory Committee leads the Executive Office and the implementation of the program through the Strategic Research Theme Leaders and Action Area Coordinators. The Executive Office also consists of a Chief Officer Management (IRS) responsible for planning, management, monitoring and evaluation in support of the Executive Director, a Communication Officer (IRS) supporting global communications efforts, and Administrative Officer (NRS). It also draws services related to Project Administration Office, Projects, Communication and Finance from IITA's established offices on full cost-recovery basis.
- **The Management Committee** comprises 5 Strategic Research Theme Leaders who provide scientific leadership, oversight, and guidance for the SRTs and four fulltime Action Area Coordinators (Flagship Managers). It meets several times per year virtually and/or in person and in the annual planning workshop is extended with the focal points. It is a direct advisory body to the Executive Director. .
 - **Action Areas and Site Teams:** Through the Action Area Coordinators (Flagship Managers), provide management oversight of research in their region of responsibility. They lead Action Site teams of researchers that manage R4D projects in the Action Site, including developing work plans, delivering outputs, and responsibly manage allocated budgets
 - **Research Theme Leaders:** provide scientific leadership, oversight, and guidance for the SRTs. They are part-time and supported and employed by their host organization. They ensure that the themes are appropriately planned, implemented, and monitored. They work with the Action Area Coordinators to support technical quality and rigour in research for the region. They will facilitate links to other CRPs and to all partners.
 - **A new category of Cluster Leaders:** in the Crosscutting Flagship is emerging while in the Action Sites there is an increasing awareness of the need for Action Site Facilitation.

1.3 Systems Research in Humidtropics

Systems research in the context of agriculture requires a whole-system (holistic) perspective in addressing the challenges and opportunities inherent within farming systems and agroecologies. As currently designed, a system within Humidtropics consists of an interaction between a farm system and livelihoods system, existing within a defined agro-ecological space. The goal is to improve livelihoods, productivity, and environmental enhancement for smallholders in the humid tropics. Humidtropics aims to achieve this goal by analyzing interactions, trade-offs, and synergies among components of system in Action Sites and by testing and recommending effective sustainable intensification options to address productivity and environmental challenges in these areas. Robust stakeholder engagement, such as through R4D or Innovation Platforms or other mechanisms, is an essential part of the research process both to ensure that research is directed toward appropriate, holistic solutions and to promote increased capacity for innovation among stakeholder groups. Farm families and communities have a central place in all phases of systems research, which places particular emphasis on sustainable intensification and diversification strategies.

1.4 Theory of Change and Impact Pathway

In the CGIAR System, research for development is guided by the Strategy and Results Framework (SRF), which sets forth the System's common goals for development impact (System-Level

Outcomes [SLOs])¹, strategic objectives, and intended results in terms of outputs and outcomes. The SRF was first approved in 2011 and is in the process of being updated in 2015. The CGIAR Centers, with their partners, implement the CGIAR research agenda through 15 multi-partner CGIAR Research Programs (CRPs). The CRPs are funded through a pooled funding mechanism in the CGIAR Fund² and bilateral funding to Centers.

Integrated systems are complex, dynamic and vary from location to location. The Theory of Change of Humidtropics is based on the hypothesis that the region's inherent potential is best realized through an integrated systems approach, built around sustainable intensification and diversification, involving participatory action across stakeholder groups. Humidtropics addresses this by enhancing the capacity to innovate at farm, institutional and landscape levels thus contributing to delivering on the four System-Level Outcomes (SLOs). Innovation Platforms and other change coalitions help to identify and prioritize systems problems and opportunities, supported by systems analysis, to identify entry points that require social and technical innovations. Poverty status and ecosystem integrity status are the main entry points used to determine social and technical intervention pathways to change systems productivity, natural resources management, and institutions and markets and improve livelihoods and ecosystem condition.

Integrated systems research embraces the complexity of systems. Its multiple intervention pathways display trade-offs and synergies among competing uses of resources and beneficiaries based on different entry points and priorities. The Humidtropics program uses an overarching Impact Pathway, incorporating all Intermediate Development Outcomes (IDOs), as the basis for more detailed and quantified site-specific Impact Pathways that result from priorities and entry points established for each research location.

1.5 Programmatic Framework

Just as work plans were established for the newly launched Humidtropics Program in 2013, the CGIAR Consortium Office (CO) introduced a much more structured reform that mandated the development of Intermediate Development Outcomes (IDOs) as the ultimate targets for CRPs. Subsequently, research in Humidtropics was completely restructured according to the current programmatic framework (Figure 1) to reflect five Flagship Projects, aiming to deliver on four

¹ Defined as four System-Level Outcomes: reduction of poverty, improvement of food security, increasing nutrition and health; and more sustainable management of natural resources.

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

strategic Objectives (SOs) with six Intermediate Development Outcomes (IDOs). This framework was implemented beginning in 2014.

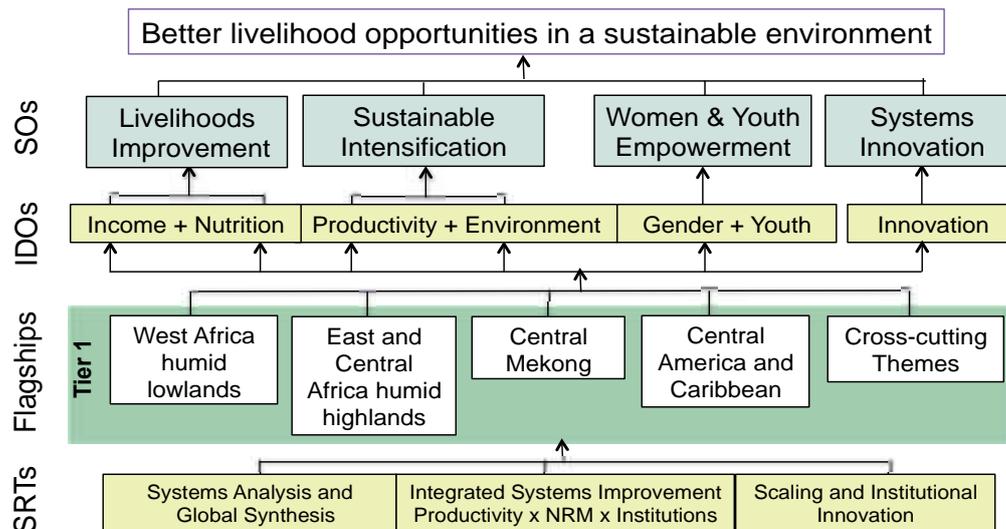


Figure 1: Humidtropics Programmatic Framework 2013

The four strategic objectives (SOs) include:

- **SO Livelihoods Improvement** addresses the issue of improved livelihoods in terms of income and nutrition for rural farm families, and the directly related IDOs concern Income and Nutrition.
- **SO Sustainable Intensification** concerns increased total farm productivity while respecting natural resources integrity. This is a central and over-riding theme with contributions and implications for the other IDOs. It is linked to IDOs on Productivity and Environment.
- **SO Gender Empowerment** concerns empowering women and youth with better control over, and benefit from integrated production systems, and it is directly linked with the IDO on Gender.
- **SO Systems Innovation** addresses the issue of enhanced capacity for systems innovation and corresponds to the IDO on Innovation (Capacity to Innovate).

1.6 Humidtropics Flagship Projects Structure

In 2013, Humidtropics adopted the concept of a “Flagship Project” (further referred to as Flagship) as the main programmatic vehicle through which research is carried out for the attainment of IDOs. There are five Flagships that include:

Crosscutting Flagship: conducts research that is relevant to all of the area-based Flagship Projects and includes the synthesis of lessons learned through the entire program. Clusters of activities under this Flagship include:

- Global synthesis** which is essential for enabling Humidtropics to present a global perspective, and to analyze and synthesize research deliverables and knowledge base across all Action Areas and Sites.
- Strategic nutrition**, which focuses on ensuring incorporation of nutrition dimensions within the production and livelihood systems.
- Systems innovation** that involves developing methods, tools and indicators for assessing system innovation and responsible scaling.

- (iv) **Gender research** that aims at developing transformative innovation strategies to gender equity by improving the targeting and design of innovations to take account of salient gender norms in target populations and regions.
- (v) **Capacity development** that focuses on responding to the global capacity and learning needs of Humidtropics.

Area-Based Flagships Projects: are designed to result in improved livelihoods for smallholder farming communities in the respective areas, based on sustainable productivity improvements and on social and technical innovations in institutions and in natural resources management. Research in each of the area-based Flagship Projects consists of four broad **clusters** of activities: (i) Systems Analysis and Synthesis, (ii) Integrated Systems Improvement, (iii) Scaling and Institutional Innovation, and (iv) R4D Partnership Development. The four area-based Flagship Projects include:

1. **East and Central Africa Highlands Flagship (ECA):** The East and Central Africa Flagship Project covers the highlands (1,125-1,800 m above sea level) of Western Kenya, Southern Uganda (Lake Victoria Basin), the Ethiopian highlands, Eastern DR Congo, Burundi, and Rwanda.
2. **West Africa Lowlands Flagship (WA):** In West Africa, the humid tropics occupy an area of 206 million ha and are home to 145 million people.
3. **Central Mekong Flagship (CM):** Over 300 million people live in the Central Mekong area, 63% of which are agriculture-dependent and 29% live on less than US\$1.25/day.
4. **Central America and the Caribbean Flagship (CAC):** The Flagship works in three Action Sites (northern Nicaragua, greater Trifinio in Honduras-Guatemala-El Salvador, and the border region in Haiti-Dominican Republic) that are characterized by erosion and nutrient depletion of soils resulting in degradation of 75% of agricultural lands.

Note on Strategic Research Themes: In its original programmatic framework, Humidtropics had three main Strategic Research Themes (SRTs) that were designed to provide a scientific and technical underpinning to the research process and to support the research conducted in various projects. These SRTs are now officially the first three **clusters** of research activity: (i) Systems Analysis and Synthesis, (ii) Integrated Systems Improvement, and (iii) Scaling and Institutional Innovation.

During 2015-2016, emphasis is on supporting research initiatives that stem from Innovation Platform research priorities and extended partnerships to enhance participation and uptake. **The CCEE should help with setting a clear direction to structure this research in the Flagship projects.**

1.7 Changes in Program Orientation

Efforts will continue during 2015-2016 at strengthening the orientation of the program towards integrated systems research within the domain of Flagships. Two key elements are necessary for this to happen. The first is the need for strengthened expertise/staffing in systems research approaches and analysis and specific capacity development efforts for research partners and other key actors in platforms. The second is to ensure that budget allocation formula is so designed as to be able to support collaboration and integrated approaches in research.

i) **Gender**

Gender is a core concern of systems research and a central theme in Humidtropics focusing on a reduction in gender disparities in access to inputs, services, and technologies; a reduction in the drudgery of women's labor; an increase in productivity in men- and women-managed farms; improved women's empowerment for decision-making; and income management leading to increased gender equity and balanced empowerment of men and women. It also involves a better understanding and appreciation of gender roles and inter-relations, and how they could be enhanced through optimization of capacities and benefit sharing among men and women. Empowerment of youth and marginalized groups is an essential component of gender, which is undertaken within the

crosscutting Flagship and also mainstreamed into each of the four area-based Flagships. All research activities are required to demonstrate gender implications, relevance, and analysis in the development and implementation of the research agenda.

ii) Partnerships

The partnership strategy of Humidtropics identifies three levels of partnership engagement.

- The first category of “Core Partnerships” involves the partnership among the founding members of Humidtropics. These consist of the 11 institutions that sign Program Participant Agreements with IITA (Humidtropics lead center) for undertaking and facilitating core areas of work. Core Partners currently include seven CGIAR centres (IITA, ILRI, ICRAF, CIP, IWMI, Bioversity, and CIAT) and four non-CGIAR institutions (FARA, icipe, Wageningen University, and AVRDC).
- The second category of partners consists of institutions that take some active leadership roles in Humidtropics research implementation or facilitation of research processes, in particular Action Sites or research domains.
- The third category of partnerships involves the wider collaboration of implementation partners who engage in the R4D and Innovation Platforms and participatory research, at the various Action Sites. This third category has the largest number of institutions, participating to varying degrees in the implementation of Humidtropics.

Humidtropics has established strong partnerships with a number of other CRPs. There is active engagement among the three systems CRPs (Humidtropics, Dryland Systems, and Aquatic Agricultural Systems), with regular consultations and several joint activities undertaken, especially related to issues of sustainable intensification and capacity to innovate.

1.8 Funding and Expenditure

In general, the Humidtropics program has been dogged with budget cuts since its inception in 2012. In 2014, the total budget allocation was \$17 Million, which was later reduced to \$14.9 Million. Likewise in 2015, total funding to the program was also reduced from the budgeted \$20 Million to \$12.3 Million in November 2014. The latter was further reduced to \$10.3 Million in March 2015. As a result, all partners have been required to revise and re-prioritize what they can do within the limited budget across all the flagships. In this Inception report therefore, the review of budget and expenditure will focus on Cluster 4 funding as opposed to total budgets because it was identified as a priority across all the flagships.

At the time of putting together the inception report, the CCEE team was not able to obtain the expenditure figures on overall budgets through W1/W2 for direct management and for w3 and bilateral funding. However, budget figures were availed regarding the Cluster 4 projects, which indicate that expenditure to date is still very low compared to what has been allocated in budgets. This is in line with what the Team was able to glean from the few initial interviews regarding the fact that cluster 4 projects are just getting rolled out across all the flagship areas.

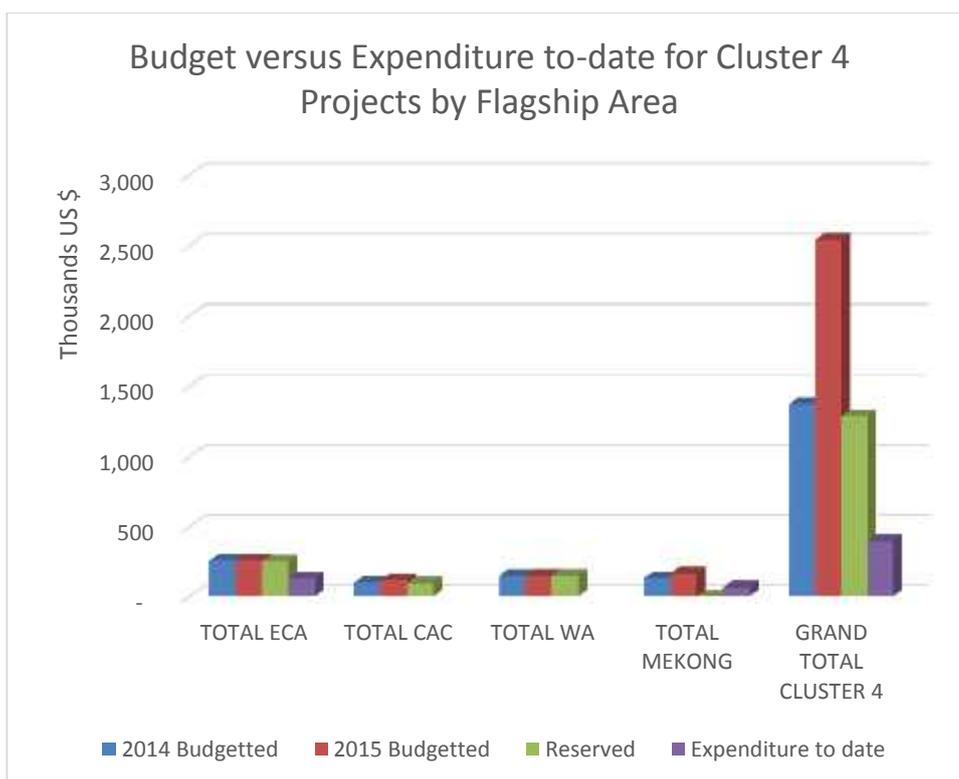


Figure 2: Budget versus Expenditure for Cluster 4 Projects

Note: The team will be able to conduct a more thorough analysis of the funding and expenditure overview of the Humidtropics program during the inquiry phase.

2.0 Purpose of the Evaluation

In April 2015, as Lead Center of the Humidtropics, IITA launched a CRP-Commissioned External Evaluation (CCEE) to review and enhance the contribution that Humidtropics is likely to make towards reaching the CGIAR System goals. The CCEE is expected to provide essential formative evaluative information for decision-making by Humidtropics management, partners, and investors including on issues related to expansion, adjustments, and re-structuring of the program.

Taking into account the nature of this new systems CRP and its early stage of development, the CCEE evaluation will provide an overview and critical analysis of the relevance of the program, the plausibility of its approach for achievement of intended results, and the extent to which Humidtropics, within its mandate, is responding to key aspirations underlying the CGIAR reform.

The specific purpose and objectives of the Humidtropics' CCEE are to:

1. **Provide useful evaluative information to Humidtropics relevant for assessment of performance leading into a full proposal for the Second CRP funding cycle.** All CRPs are undergoing mid-term evaluations to inform the upcoming Second Call for CRP proposals in early 2016, which will result in a substantially revised set of CRPs to be initiated in 2017.
2. **Inform the Humidtropics' appraisal process by the Humidtropics Partners, CGIAR Consortium Office, ISPC, and CGIAR Fund Council** in particular with respect to:
 - a. *Verification of the plausibility of achieving results through the Humidtropics' Theory of Change, related Impact Pathways, and main research areas*, as these have been manifested

since the program's approval in 2012 and through subsequent programmatic adjustments made in response to ongoing CGIAR System reforms.

b. Assessment of the adequacy of systems in place for good organizational performance and responsiveness related to governance, partnerships, collaboration, staff, management, planning, monitoring, finance, and accountability.

c. Assessment of the plausibility of the integrated systems approach adopted by Humidtropics. This includes research on new methods, approaches, and tools designed to: improve the capacity to innovate among systems actors; enhance the ability of women and youth to participate in identifying and prioritizing problems and opportunities; experiment with social and technical systems innovations; share knowledge that improves the sustainable intensification of dominant farming systems; and support scaling up of innovations towards achieving Interim Development Objectives (IDOs) and long-term impact.

The CCEE seeks to reinforce the principle of mutual accountability and responsibility among program leaders, donors, and partners for improving program relevance and efficiency and to promote learning among Humidtropics partners and program stakeholders.

2.1 Scope of the Evaluation

The first 3-year phase of the Humidtropics program was due to end in June 2015. However, the first phase has been extended to the end of 2016 for all CRPs to allow for the development of second phase CRP proposals. The CCEE will cover all Humidtropics' research activities and related processes funded through Window 1 (donor funds provided to the CGIAR Fund Council, which allocated them to the CRP), Window 2 (donor funds provided to the CGIAR Fund Council, earmarked for the CRP), and Window 3 (donor funds allocated directly to the CGIAR Center for specific activities, which mapped them to the CRP), but with focus primarily on Windows 1/2, taking into consideration the effect of the chronology of the program evolution and subsequent budget cuts experienced during the course of implementation, as follows:

A. Chronology of Program Evolution:

- Oct 2012 – Proposal approved, with start date of July 2012
- Real start – Feb 2013 planning workshop – based on three SRTs
- April 2013 – Plan and budget for 2013, based on SRTs, approved
- May 2013 – Programmatic restructuring based on Intermediate Development Objectives (IDOs), Theory of Change (TOC), Impact Pathways, and Flagships
- Aug 2013 – Revised program was approved – based on IDOs and TOC; which led to a shift from SRTs to Flagships and Clusters.
- Dec 2013 – Submitted work plan and budget based on new structure, while the 2013 Annual Report was written based on the old SRT model.
- The 2014 Annual Report will be based on the new model – reflecting IDOs & TOC.
- Nov 2014 – 2014 CRP budget cut from **\$17 M to 14.9 M**; 2015 CRP budget cut from \$20 M to \$12.3 M
- Dec 2014: Final decisions on the budget cuts for both 2014 & 2015
- Mar 2015 – 2015 CRP budget further cut to \$10.3 M

B. Program Extension: From 2015 – 2016

- Work plan and budget will be based on the Performance Matrix on IDOs
- ISPC Commentary – was provided on January 2012 and August 2012; program extension proposal was approved in 2013, and was operationalized in 2014
- Oct. 2014, started with the flagship programming assuming the \$20 M funding.

- **In 2015**, operationalized the extension proposal, based on **\$12.2 M instead of \$20 Million**. Chose to prioritize implementation of Cluster 4 Projects (30% of CRP budget).
- In March 2015, the budget was further reduced to **\$10.3 M – All partners were required to revise and re-prioritize what they can do within the Flagships**.

Thus in reviewing the research performance, the CCEE Team will put particular emphasis on the plausibility of the approach and the extent to which programmatic changes, made in response to major budget cuts, were appropriate. Specifically, the CCEE will assess how budget and program changes affected the implementation of planned key activities and the likelihood of achievement of results that mature to outcomes and, ultimately, lead to expected impacts.

The scope of the Humidtropics CCEE is broad including assessing how legacy projects experiences have influenced the development of the program and the approaches taken as well as how this relates to the program's relevance, efficiency, quality of research, and potential for results and impact.

The CCEE will also examine the program design in terms of the processes put in place to enhance not only the implementation of the program in the various Action Sites, but also the partnership approaches adopted to increase capacity for scaling up and innovation. The CCEE will assess the extent to which findings from gender analysis were incorporated into research designs and engagement of women and youth in field sites.

Given the significant evolution and budget changes over its relatively short history, the CCEE Team will focus more on the design and implementation phases of the Humidtropics program and will assess the likelihood that key results will be achieved, rather than seeking evidence that these results have already been achieved. Also, given budget and time limitations of the CCEE, the scope of the evaluation will be limited to gathering of evidence mainly through document review and selected key informant interviews, supplemented by focus group discussions, a limited number of field visits, and other methods as detailed in section 3 below.

2.2 Evaluation Criteria and Questions

The CCEE will address the following evaluation criteria: relevance, efficiency, quality of research, and effectiveness. A preliminary list of twenty-six questions proposed in the CCEE Terms of Reference was reviewed by the Evaluation Team and reduced to eight overarching questions by eliminating overlap and focusing on the primary objectives of the CCEE. These eight questions were further refined in consultation with the Humidtropics Executive Office.

Relevance (i.e., coherence; program design)

1. To what extent is the Humidtropics' Theory of Change **strategically coherent** and consistent with the **CGIAR's Strategy and Results Framework**, considering its crosscutting issues of gender and capacity development priorities and the rationale and coherence of Flagship Projects?
2. Is the **partnership design and targeting** based on **plausible assumptions** for program delivery of **results**?

Efficiency (i.e., institutional arrangements; governance and management; program implementation)

3. Is the Humidtropics program **effectively managed** with appropriate internal processes and conditions (including research staff and leadership quality, institutional arrangements, and governance and management arrangements) for **assuring high quality research outputs**, considering different genders and generations, documenting and disseminating both positive and negative findings, and monitoring and reporting progress?

Quality of Research (i.e., research design; research outputs, tools, and approaches)

4. To what extent does the integrated systems **research design** (problem-setting and choice of approaches) **reflect high quality**, up-to-date scientific thinking and knowledge and innovation in the areas of research, including **relevance for women and youth**?

5. Have Humidtropics research for development activities been appropriately prioritized, and effectively coordinated and implemented, given key contextual factors (such as: diverse sources and types of funding; the on-going reform of CGIAR structures and processes; changing resource availability), legacy projects, and financing needs for long-term research programs and key partnerships?

Effectiveness (i.e., integrated systems approach)

6. Does the Humidtropics program **effectively collaborate with its partners** to achieve planned outputs and outcomes, maximize synergies, and enhance partner capacity?
7. To what extent does the overarching theory of change and impact pathway **translate into site-relevant processes** and research for development?
8. To what extent does the Humidtropics' **integrated systems approach** plausibly lead to better and more holistic **results, impact at scale** and provide **additional value** to the CGIAR's capacity to deliver relevant international public goods that lead to impact?

Each of the eight overarching questions has been assigned a short set of illustrative information and performance indicators, which will be used to answer the questions in a targeted manner (see **Annex 5.1**).

3.0 Evaluation Design and Methodology

3.1 Overview of the methodology

The CCEE will be mainly formative and forward-looking, although it will also assess how ‘legacy’ projects have been integrated into the Humidtropics framework. Systems are complex with multiple actors and disciplines, therefore the CCEE process will ensure that, in developing findings, conclusions, and recommendations, there is broad consultation among stakeholders for capturing a broadly representative range of viewpoints and that findings are informed by evidence (e.g. all perceptions, hypotheses, and assertions obtained in interviews will be validated through triangulation with other sources).

Using a mixed methods approach, the CCEE will primarily emphasize desk review and key informant interviews to gather a broad base of information about the program, supplemented by targeted use of site visits, case studies, expert panels, and electronic surveys. The latter methods will also be used to capture wider perspectives, to cross-check the accuracy and prevalence of gathered information, and to enrich understanding of program design and processes, progress towards results, gender mainstreaming, governance, partnerships and the plausibility of the systems approach towards impact at scale.



Figure 3: The Humidtropics CCEE methodology

Assessment of research quality will emphasize four dimensions:

Quality dimension	Sources of evidence
Processes for assuring quality	<ul style="list-style-type: none"> Internal peer review processes Use of external advisory groups Staff performance assessments (by participating centers) Incentives and staff development aimed at enhancing science quality Mentoring and capacity development among co-researcher groups in the flagships
Input quality	<ul style="list-style-type: none"> Track record and competence of team leaders Composition and competence of teams Quality of research proposals (e.g. appropriateness and innovativeness of research designs) Quality of data collection and management

	CVs of core research staff (e.g. education level and discipline; length of professional experience)
Output quality	Lists of manuscripts (published, submitted, in preparation) Journals (published, submitted, targeted) Technical reports and other publications
Perceptions of quality	Perceptions among research peers in other CRPs and partner organizations

3.2 Methods of Data Collection and Analysis

CCEE Methods

The following methods will be used to gather information for the CCEE:

Desk Review: Quantitative and qualitative information will be gathered through review of literature and other secondary sources in a targeted manner to respond in specified ways to the eight overarching questions. A desk review template will be used to summarize and share information (**Annex 5.5**) gleaned from relevant program documents, the core partner reports, reports from institutions leading the action sites and the collaborating implementing partner reports, in order to assess progress in implementation and progress towards expected results to date, constraints cited during implementation and any other relevant information.

Key Informant Interviews (KIIs): Qualitative information (e.g. related to the relevance and quality of research, likely effectiveness, and aspects of partnership management) will be gathered through formal interviews with the Consortium Board, members of the IITA Board of Trustees, Humidtropics managers, cluster leaders, researchers, core partners, and stakeholders (private sector, NGOs) as well as relevant experts. Selection of interviewees will be designed to capture the perspectives of a variety of stakeholders both within and outside the CGIAR. Outside the CGIAR, some of the key informants will include: Donors, Research Partners, Development Partners, IEA, beneficiary farmers, as well leaders in the target beneficiary communities/groups associated with the Humidtropics program's efforts (**See KII Interview Guide in Annex 5.6**).

Site visits: The Evaluation Team will visit selected Action Sites in Area-Based Flagships as well as IITA Headquarters. Site visits will include direct observation of project activities, meetings with project leaders, and interviews with system actors (**see Field Site Visit Guide in Annex 5.7**).

Case Studies: Two types of case studies will be used: (i) case studies focused on specific Action Sites, and (ii) case studies focused on cross-cutting research issues such as gender. For each Action Site selected for a site visit, a preliminary case study will be developed based on desk review and phone- or skype-based interviews. A list of key questions will be developed to guide the team on how the specific site approached some of the issues that will have emerged from the desk review. These case studies will be refined based on direct observation, on-site interviews, and/or focus group discussions. In the second category of case studies, the site visits will be instrumental to highlight the evidence of progress on cross-cutting research issues on the ground for comparison and learning purposes (**See Case Study Guide in Annex 5.8**).

Focus Group Discussions (FGDs): During site visits, focus group discussions will be organized to gather information and perspectives of targeted groups, which will be identified based on preliminary case studies will use the FGDs to assess general perceptions about the project's awareness, contribution, and the overall satisfaction, or not. The CCEE Team will hold discussions with different stakeholder groups such as Farmer Organizations, key partners, and Women and Youth farmer groups; and where possible any other marginalized groups in the selected flagship projects areas (ECA, WA, CAC). (**See FGD Interview Guide in Annex 5.9**).

Independent expert and stakeholder panel interviews: As findings emerge from desk review and KIIs, panels of independent experts and/or Humidtropics stakeholders will be convened to gather specific types of information and perspectives determined to be necessary to the CCEE.

Electronic surveys: As findings emerge from desk review and KIIs, electronic surveys will be used in a targeted manner to cross-check their accuracy and prevalence (e.g. gauging general perceptions about program relevance and progress). Depending on the specific information required, surveys will solicit the views of Humidtropics researchers, partners, and other stakeholders. Survey design will seek to be parsimonious. In particular, survey techniques will be used to gauge the extent of stakeholders' understanding of the integrated systems approach and associated strategies such as Innovation Platforms. Only one such survey with limited questions for different stakeholder groups will be conducted after completing the first field visit. The CCEE Team will use the Lime-survey application and the Humidtropics Newsletter mailing lists (+2,500 people including all partners, etc) + additional targeted mailings for this survey. The data will be collected with "tokens" which allow for sending of one reminder to those that have not completed the survey by a certain date. Data will not be personalized and only presented in anonymous aggregate format (**See Online Survey Questionnaire in Annex 6.0**).

Selection of Field Sites

The following criteria for selecting CCEE site visits were agreed by the Evaluation Team and applied, with the assistance of the Humidtropics Executive Office, to the four Humidtropics Action Areas:

- Sites where there is likely to be more Humidtropics progress to observe such as sites with a strong history of project funding (e.g. legacy projects)
- Sites where there is a broad array of program partners, which would allow for assessment of the extent to which the core concepts of the Humidtropics program (i.e. integrated systems approach) are understood and/or adopted
- Sites where R4D and Innovation Platforms are operational and/or where Cluster 4 project funds³ have been disbursed and spent, which would allow for assessment of the evolution of these key elements of the TOC and Impact Pathway
- Sites where there has been significant work on gender issues, which would allow for assessment of how this cross-cutting theme has been implemented
- Sites where document review and virtual interviews produce divergent information and perspectives, suggesting a need for direct observation

Application of these criteria was complemented by considerations of cost-effectiveness in planning field visits (e.g. proximity of multiple field sites). This consideration supported the decision that, where possible, two or more Evaluation Team members would participate in all site visits, both to maximize the value of ground transport and other costs and also to ensure balanced attention to different aspects of the CCEE.

The following site visits are planned for the CCEE:

Central America and the Caribbean: The full Evaluation Team will visit sites in Nicaragua (including Managua where the CAC Flagship Management Team is based) where legacy projects and 'learning alliances' have been incorporated into R4D and Innovation Platforms and where the opportunity to assess progress on the gender cross-cutting theme is anticipated. Several CRPs are working in similar locations in Nicaragua.

East and Central Africa: Two members of the Team will visit sites in Uganda. The full Evaluation Team will visit sites in the South region of Rwanda. Two members of the Team will visit South Kivu sites in DRC (including Bukavu where the ECA Flagship Management Team is based). It is anticipated that sites in the South Kivu will offer the opportunity to see how the Humidtropics program has navigated the challenges presented by the three different national

³ Cluster 4 program are grants issued directly to Action Sites to support research from R4D Platforms.

political systems (e.g. investigating how these political systems shape the development of farming systems and influence the opportunities for transformation).

West Africa: The full Evaluation Team will visit the Ogun site in Nigeria immediately prior to a writing workshop in Ibadan.

Table 1: Data types and sources to be used to answer overarching CCEE questions (presented here in abbreviated form).

Key informant interviews will be an important information source for all the listed questions.

Evaluation Question	Data Type	Data Sources
Relevance		
1. To what extent is the Humidtropics TOC strategically coherent and consistent with the CGIAR’s Strategy and Results Framework , considering its crosscutting issues of gender and capacity development priorities and the rationale and coherence of Flagship Projects?	<ul style="list-style-type: none"> • Alignment of System-Level Outcomes (SLOs) to CG Strategy • Progress Flagship Projects Outcomes (IDOs) • Strategic Research Themes (SRTs)/Clusters 	<ul style="list-style-type: none"> • CGIAR Strategy Results Framework • Revised Humidtropics Programmatic Results Framework • Area-based Flagship project records
2. Is the partnership design and targeting based on plausible assumptions for program delivery of results ?	<ul style="list-style-type: none"> • List of Partners & their engagement at Global & Regional Level: • List of Partners & their engagement at Action Area Level • List of Partners & their engagement at Action Site Level 	<ul style="list-style-type: none"> • IITA and Core Partner Records
Efficiency		
3. Is the Humidtropics program effectively managed with appropriate internal processes and conditions (including research staff and leadership quality, institutional arrangements, and governance and management arrangements) for assuring high quality research outputs , considering different genders and generations, documenting and disseminating both positive and negative findings, and monitoring and reporting progress? ⁴	<ul style="list-style-type: none"> • Resources allocated to Flagships • Decision-making mechanisms to optimize use of resources • Institutional & governance arrangements over time in response to external demands and internal insights 	<ul style="list-style-type: none"> • Program & financial records
Quality of Research		
4. To what extent does the integrated systems research design (problem-setting and choice of approaches) reflect high quality , up-to-date scientific thinking, and knowledge, innovation, in the areas of research, including relevance for women and youth ?	<ul style="list-style-type: none"> • Refined definitions of plausible integrated solutions and integrated system research outputs • Systems tradeoff and synergy analysis completed and used by R4D Partners • Models developed to analyze effect of interventions on farm productivity, farm system components, and their interactions 	<ul style="list-style-type: none"> • Workshop summaries • Project reports • Publications • R4D Partner records • Interviews • Case study reports for selected Flagships

⁴ Note that the concurrent audit of Humidtropics will address related issues and the CCEE will coordinate with the auditing team as appropriate.

Evaluation Question	Data Type	Data Sources
5. Have Humidtropics research for development activities been appropriately prioritized , and effectively coordinated , and implemented , given key contextual factors (such as: diverse sources and types of funding; the on-going reform of CGIAR structures and processes; changing resource availability), legacy projects , and financing needs for long-term research programs and key partnerships?	<ul style="list-style-type: none"> • Prioritization of research needs in line with resource availability • Quality of publications • Involvement by senior scientists in research • Contribution to global leadership role in integrated systems research 	<ul style="list-style-type: none"> • Humidtropics Integrated Systems – Final Proposal • Humidtropics Annual Reports • Financial alignment to “systems” approach • Executive Office • Flagship Managers
Effectiveness		
6. Does the Humidtropics program effectively collaborate with its partners to achieve planned outputs and outcomes, maximize synergies, and enhance partner capacity ?	<ul style="list-style-type: none"> • Capacity to innovate at farm, institutional & landscape levels: Innovation Platforms: • Scaling Up of Innovations: • Information Sharing Platforms • Change Agents or Coalitions • Key Humidtropics Program Implementation Activities 	<ul style="list-style-type: none"> • IITA and Core Partner records • Other CG Records • Humidtropics Implementation Plan (Appendix 6)-Not operationalized • Aggregate Humidtropics Annual Work Plan
7. To what extent does the overarching theory of change and impact pathway translate into site-relevant processes and research for development?	<ul style="list-style-type: none"> • Platform evolution in the key elements of an integrated system. • Gender & Youth livelihood profiles • Trade-offs (between multiple objectives) 	<ul style="list-style-type: none"> • Humidtropics Integrated Systems – Final Proposal • Area-based Flagship projects records • IITA and Core Partner records • Cluster 4 Design & Performance Data – to-date • Googleforms
8. To what extent does the Humidtropics’ integrated systems approach plausibly lead to better and more holistic results, impact at scale and provide additional value to the CGIAR’s capacity to deliver relevant international public goods that lead to impact?	<ul style="list-style-type: none"> • Evidence of synergies within and among domains • Global Synthesis of data and results from: <ul style="list-style-type: none"> ○ The area-based flagships, under the three strategic research themes ○ Synthesis of experiences with interventions and scaling-out, ranging from action area to programme levels. • Diverse interventions • Lessons Learned across the Flagships. 	<ul style="list-style-type: none"> • Area-based Flagship projects records • IITA and Core Partner records

Note: The detailed Evaluation Matrix is provided in Annex 5.1.

3.3 Major CCEE Phases and Quality Assurance

The CCEE will be delivered in three phases (see Table 2).

Table 2: CCEE Phases, Period, Outputs, and Responsibilities

Phase	Period	Main Outputs	Responsibility
1. Inception Phase	March to early May	Inception Report	CCEE Team
2. Inquiry Phase	mid-May to early August	Various reports and analysis products	CCEE Team
3. Reporting Phase			
<i>3.1 First Draft Report</i>	mid-August	Draft CCEE Report with preliminary findings	CCEE Team
<i>3.2 Feedback</i>	October	Feedback from major stakeholders on draft report	CCEE stakeholders
<i>3.3 Final CCEE Report</i>	November	Final CCEE Report	CCEE Team
<i>3.4 QAA Review by IEA</i>	December-January	QAA Review	IEA
<i>3.5 Management response, reviews and approval</i>	Early 2016	Management Response, FC approval	CRP Management, Fund Council

The main output of the Inception Phase is this Inception Report, which has been developed based on the original Terms of Reference, a four-day inception workshop, consultations with the Humidtropics Executive Office and Flagship and Cluster managers (see Annex C), and review of major program documents by the Evaluation Team. This Inception Report represents the contractual basis for the Evaluation Team’s work, which, subject to the agreement of the Director of the Humidtropics CRP, can be adjusted in a transparent fashion during evaluation implementation in the light of experience.

The Inquiry Phase will encompass the information gathering and triangulation methods and analysis described in Section 5.2 of the TOR. The Reporting Phase will include development of a Draft Report, which will be a key input to the design of the Second Call for CRP proposals. Major stakeholder feedback on the Draft Report will be incorporated into a Final Report, which will be reviewed for quality by the IEA, formally commented on by the Humidtropics Management Team, and submitted for approval to the CGIAR Fund Council.

To ensure technical rigor of the CCEE, several quality assurance mechanisms will be implemented. Throughout the evaluation process, the Humidtropics Executive Office, supported by the IEA, will conduct quality control, which will support the Evaluation Team in ensuring that the conduct of the evaluation, validation, and its approaches, methods, and deliverables are in line with the evaluation policy and standards, but will in no respect impinge on the full independence of the evaluation team in conduct of the evaluation and in deriving their findings, conclusions, and recommendations. The IEA will provide feedback on the Inception Report, the Draft Report, and the Final Evaluation Report. The IEA Quality Assurance Advisory Panel (QAAP) will independently provide a quality statement on the evaluation at its completion.

The Humidtropics Management Team response to the Final Report will be specific regarding the extent to which it accepts the evaluation recommendations and the reasons for partial acceptance and non-acceptance. For those recommendations, which it accepts partially or in full, the Management Team response will describe follow-up action it intends to take and in what timeframe. The consolidated response of Humidtropics management, with approval from the Lead Center Board and the Consortium Board, will be a public document made available together with the Final Evaluation Report for the consideration of the CGIAR Fund Council.

The timebound implementation plan for the CCEE is presented in **Annex 5.2**.

3.4 Limitations of the CCEE Design and Methodology

The following aspects of the CCEE may limit the breadth and depth of the Evaluation Team's findings, conclusions, and recommendations:

Time. The Humidtropics program has been in operation since July 2012, thus the CCEE has only a relatively short time for assessing program performance and will direct primary attention to how well the program is positioned to meet its objectives in the coming years.

Available information. Where baseline and monitoring data is absent for program-relevant variables, the CCEE will be constrained in its CCEE ability to assess achievements and impact.

Geography. The Humidtropics program has been implemented in numerous field sites across four major areas in Africa, Asia, and the Americas. The timeframe and budget of the CCEE allow for a limited number of site visits, therefore primary emphasis will be directed to desk review, interviews, and other information gathering strategies in order to achieve balanced representation across field sites.

Evaluation team size. In comparison with other CRP evaluations, the three-person Humidtropics CCEE Evaluation Team is modest in size and the scope of the CCEE has been adjusted accordingly.

4.0 Team Composition and Roles

4.1 Roles and Responsibilities for CCEE Team Members

Table 3: CCEE Team Roles & Responsibilities

Name of Team Member	Major Responsibilities
Team Leader (Rosern K. Rwampororo)	<ul style="list-style-type: none"> • Overall management and conduct of the evaluation, synthesis, report writing especially on relevance and effectiveness; • Write-up case study on gender integration in the Humidtropics across the flagships • CAC-Nicaragua, ECA-Uganda, Rwanda & DRC; West Africa-Nigeria field visits (case studies) • Conduct desk reviews, key informant interviews with representatives of selected management, scientists, and partners & focus group discussions with farmers • Prepare Inception and Final Reports and Powerpoint presentation; present report to client • Represent CCEE team
Team member (Christine Negra)	<ul style="list-style-type: none"> • Conduct desk reviews, key informant interviews with representatives of selected management, scientists, and partners & focus group discussions with farmers • Write-up case study on integrated systems research in the Humidtropics across the flagships • CAC-Nicaragua, ECA-Rwanda & DRC; West Africa-Nigeria field visits (case studies) • Contribute to the preparation of Inception and Final Reports and Powerpoint presentation; • Report writing especially on Quality of Science & “Systemeness” • Present report to client
Team member (Eric Kueneman)	<ul style="list-style-type: none"> • Conduct desk reviews, key informant interviews with representatives of selected management, scientists, and partners& focus group discussions with farmers • Write-up case study on partnerships in the Humidtropics across the flagships • CAC-Nicaragua, ECA-Uganda & Rwanda; West Africa-Nigeria field visits (case studies) • Contribute to the preparation of Inception and Final Reports and Powerpoint presentation; • Report writing especially on institutional innovation & partnerships • Present report to client

4.2 Use of Evaluation Team Recourses

Table 4: CCEE Team Use of Evaluation Resources

Tasks	Schedule	Evaluation Team		
		Responsibilities in work days		
		Team Leader (Rosern)	Team member (Christine)	Team member (Eric)
Initial desk review	May - June 2015	5	5	5
Inception report, interview guidelines	May - June 2015	10	7	7
Continued Desk Review	May -June	10	10	10
Interviews at Field Sites & HQ, (incl. travel)	June - August 2015	23	17	17
Overall analysis Drafting of evaluation report	June – September 2015	21	12	12
Validation: presentation of preliminary findings at HQ (incl. travel)	September 2015	4	3	3
Review feedback and finalisation of evaluation report	October- November 2015	12	6	6
Total number of work days		85	60	60

4.3 Team Short Bios

Rosern K. Rwampororo, Ph.D.: Evaluation Team Leader

Dr. Rosern Rwampororo has a Ph.D. in Development Sociology with Agricultural Economics and Program Evaluation from Cornell University, Ithaca, New York (January 2001). She has twenty years of working experience in policy and economic analysis on issues pertaining to African development. She also has extensive program management, monitoring, development evaluation, needs and impact assessments skills geared towards poverty reduction. She has worked as an Evaluation Advisor and/or Consultant with international development agencies such as the World Bank, the United Nations Development Programme (UNDP), United Nations Capital Development Fund (UNCDF), the U.S. Agency for International Development (USAID), and the Bill and Melinda Gates Foundation (BMGF). Her country experience spans most of Africa and includes but is not limited to the following: Uganda, Kenya, Tanzania, Ethiopia, Zambia, Zimbabwe, South Africa, South Sudan, Ghana, Nigeria, and Malawi. She has also worked/studied in other countries such as the USA, United Kingdom, Mexico, and France.

From 2001-2003, she served as an Evaluation Advisor to the Evaluation Units of UNDP and UNCDF. From 2003 to 2006, she served as the Chief of Party for a USAID-funded project in Uganda, the Monitoring and Evaluation Services (MEMS), implemented by Management Systems International (MSI), Washington, D.C. From 2006 - 2008, she served as UNDP's Monitoring & Evaluation Technical Advisor to develop the National Monitoring and Evaluation System for the Government of Malawi. From 2009 – to June 2011, she served as the Chief of Party for similar USAID-funded projects, the Tanzania Monitoring and Evaluation Management Services (TMEMS) and the Ethiopia Performance Management Systems (EPMS) project from 2012 to 2014.

From June 2014 to date, she started working fulltime as the President & Founder of her own development consulting firm; i-Train & Evaluate Center (i-TEC), which was founded in 2008. Details on i-TEC can be accessed at: www.evaltrain.com.

Christine Negra, Ph.D.: Evaluator, Sustainable Intensification

Christine Negra is a consultant in international agricultural development, with a particular emphasis on integrated landscape management and food security in the context of climate change. She is a soil chemist by training, with a PhD from the University of Vermont, and has over 20 years of experience as an Extension agent, a researcher, and a program director. Dr Negra has provided strategic guidance through leadership roles with EcoAgriculture Partners and the Heinz Center for Science, Economics and the Environment. Her recent publications explore issues in climate-smart agriculture, integrated research systems, private sector engagement, and policy development. She has delivered numerous multi-disciplinary projects, including evaluation design and implementation, in partnership with a diverse set of international research, philanthropic, and finance organizations including:

- The Climate Bonds Initiative
- The World Bank
- The Dutch Sustainable Trade Initiative
- The International Finance Corporation
- The World Agroforestry Center
- CGIAR Climate Change, Agriculture and Food Security Program, CCAFS
- The Commonwealth Scientific and Industrial Research Organisation, CSIRO
- Oak Ridge National Labs
- The US Environmental Protection Agency

Eric Kueneman, PhD.: Evaluator, Institutional Innovation

Dr. Eric Kueneman's experience encompasses over 60 countries worldwide and he has published widely on plant breeding and applied agronomy. As Director of Kueneman Consultancy (KC), Dr. Kueneman contributes to the interface of global agriculture, food systems, and the environment. KC infuses broad experience in international development, plant breeding, crop production, and protection to provide specific advice to development institutions on formulating, implementing, and evaluating models for good agricultural practices. Recent consultancies include:

- The Bill and Melinda Gates Foundation
- The Clinton Foundation – Global Development Initiative (CDI)
- International Institute for Tropical Agriculture (IITA)
- United States Agency for International Development (USAID)
- Centro Internacional de Agricultura Tropical (CIAT)
- International Fund for Agricultural Development (IFAD)
- United Nations Food and Agriculture Organization (FAO)
- Cornell University
- Empresa Brasileira de Pesquisa Agropecuaria (Brazilian Agricultural Research Corporation)
- California Conservation Agriculture Systems Innovation Center (CASI)
- Centro Internacional de Papa (International Potato Research Center)

Prior to his work at KC, Dr. Kueneman served a 23-year career in the United Nations Food and Agriculture Organization (UN FAO), where he directed support to governments on crop production and protection and served as an emissary in negotiations with ministerial policy makers and donors in relation to sustainable agricultural development. He retired from his appointment as Deputy Director of the FAO Crop Protection and Protection Division in April, 2010. He earned his PhD. from Cornell University in Plant Breeding and International Agriculture and he received his Bachelor of Science from the University of Idaho.

References

1. Area based flagship projects records
 - Especially Annual reports
 - Other relevant reports e.g. Action plans and M&E reports for R4D and Innovation Platforms;
 - Reports of situational analysis, entry point identification, and baseline / household surveys;
 - Reports on Participatory Rapid Appraisal Innovation in Agricultural Systems; distribution lists and workshop participant lists for R4D and Innovation Platforms;
 - M&D reports on utilization of farm typology data by R4D partners)
2. Case study reports (e.g. on scaling strategies / institutional innovations; R4D partnership arrangements)
3. CGIAR's Strategy (SRF)
4. Consortium Level Gender Strategy
5. Humid tropics programmatic results framework
6. Humidtropics 2012 CRP proposal (e.g. baseline assessment of poverty-ecosystem integrity status of Action Areas)
7. Humidtropics Integrated Systems – Final Proposal
8. Humidtropics CRP Performance Matrix
9. Humidtropics Gender Strategy
10. Humidtropics Capacity Building Strategy
11. Humidtropics Annual Reports, including those from each Flagship and SRT project.
12. IITA records (e.g. financial records)
13. Other CGIAR records
14. Research reports
 - e.g. gender mainstreaming outcomes;
 - best-fit options;
 - analysis of alternative integrated value-chains;
 - integrated systems using interventions for diversity / resilience in changing contexts;
 - selected development institutions using tools, guidelines and publications on productivity / NRM / gender-sensitive institutional development;
 - use of R4D and Innovation Platforms by partners to enhance collaborative research;
 - use of stakeholder mapping

5. Annexes

Annex 5.1: Evaluation Matrix

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
I. Relevance:							
a) Coherence							
1. To what extent is the Humidtropics TOC strategically coherent and consistent with the CGIAR's Strategy and Results Framework , considering its crosscutting issues of gender and capacity development priorities and the rationale and coherence of Flagship Projects?	<p>A. Alignment of System-Level Outcomes (SLOs) to CG Strategy</p> <ul style="list-style-type: none"> Enhanced Agriculture Reduction of Poverty Improvement of Food Security Increasing nutrition and health More sustainable management of natural resources <p>B. Progress Flagship Projects Outcomes (IDOs)</p> <ul style="list-style-type: none"> Income + Nutrition Productivity + Environment Gender + Youth Innovation Capacity <p>C. Strategic Research Themes (SRTs)/Clusters</p> <ul style="list-style-type: none"> Systems Analysis and Synthesis Integrated Systems Improvement (SRT 2.1 – 2.3) 	<ul style="list-style-type: none"> CGIAR's Strategy Revised Humid tropics programmatic Results Framework Area based flagship projects records 	<ul style="list-style-type: none"> Desk Review Key Informant Interviews (KII) with key Stakeholders: <ul style="list-style-type: none"> -Executive Office -CO 	<ul style="list-style-type: none"> Cross-comparison table 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Content Analysis List of Divergences 	<ul style="list-style-type: none"> Fund Council ISPC Core Partners (11) Flagship Leaders

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
	<ul style="list-style-type: none"> Scaling and Institutional Innovation to catalyze change 						
b) Program Design							
2. Is the partnership design and targeting based on plausible assumptions for program delivery of results?	<ul style="list-style-type: none"> Global & Regional Partnerships: <ul style="list-style-type: none"> ✓ Other CRPs. Action Area Research Partnerships Action Sites Critical partners are engaged “inside the tent” including the private sector, at all levels <ul style="list-style-type: none"> ✓ xxxxx ✓ yyyyy ✓ zzzzzz How does the partnership assist with the realization of the objectives & scaling up of the interventions? 	<ul style="list-style-type: none"> IITA and Core Partner Records 	<ul style="list-style-type: none"> Desk Review KII with key Partners at the different levels Survey (Electronic) of key partners at each level (List of partners & their contacts) Contract & deliverables 	<ul style="list-style-type: none"> Checklist on type of participation at each level 	TBD	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> Fund Council ISPC Core Partners (11) Flagship Managers
II. Efficiency							
3. Is the Humidropics program effectively managed with appropriate internal processes and conditions (including research staff and leadership quality, institutional arrangements, and governance and management arrangements) for assuring	<ul style="list-style-type: none"> Resources allocated to Flagships Decision making mechanisms to optimize use of resources Institutional & governance arrangements over time in response to external demands and internal insights 	<ul style="list-style-type: none"> Program & Financial Records 	<ul style="list-style-type: none"> Desk review KII with Executive Office 	<ul style="list-style-type: none"> Budget & Governance Timeline against external triggers 	N/A	<ul style="list-style-type: none"> Financial and Content Analysis 	<ul style="list-style-type: none"> Fund Council ISPC Executive Office

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
<p>high quality research outputs, considering different genders and generations, documenting and disseminating both positive and negative findings, and monitoring and reporting progress? [partially addressed by Audit]</p>							
<p>III. Quality of Research</p>							
<p>4. To what extent does the integrated systems research design (problem-setting and choice of approaches) reflect high quality, up-to-date scientific thinking, and knowledge, innovation, in the areas of research, including relevance for women and youth?</p>	<ul style="list-style-type: none"> Refined definitions of plausible integrated solutions and integrated system research outputs Systems tradeoff and synergy analysis completed, used by R4D Partners Models developed to analyze effect of interventions on farm productivity, farm system components and their interactions <ul style="list-style-type: none"> At the strategic; Innovation platform, & at the Action site levels 	<ul style="list-style-type: none"> Workshop summaries Project reports Publications R4D Partner records Interviews [other] Case study for selected Flagships 	<ul style="list-style-type: none"> Document review Key Informant Interviews Expert Panel 	<ul style="list-style-type: none"> Case study Synopsis 	<p>N/A</p>	<ul style="list-style-type: none"> Content Analysis 	<ul style="list-style-type: none"> Fund Council ISPC Core Partners (11) Flagship Leaders

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
5. Have Humidtropics research for development activities been appropriately prioritized, and effectively coordinated, and implemented, given key contextual factors (such as: diverse sources and types of funding; the on-going reform of CGIAR structures and processes; changing resource availability), legacy projects, and financing needs for long-term research programs and key partnerships?	<ul style="list-style-type: none"> Evidence of knowledge generated by the humidtropics network versus individual partners, such as: <ul style="list-style-type: none"> ✓ Xxxxxx ✓ Yyyyyy ✓ Zzzzzz Prioritization of research needs in line with resource availability Quality publications Involvement by senior scientists in the research Contribute to global leadership role in integrated systems research 	<ul style="list-style-type: none"> Humidtropics Integrated Systems –Final Proposal Humidtropics Annual Reports Financial alignment to “systems” approach Executive Office Flagship Managers 	<ul style="list-style-type: none"> Desk Review KII Focus Group Discussions Checklist of “systems” typology 	<ul style="list-style-type: none"> Checklists Interview guides 	TBD	<ul style="list-style-type: none"> Content Analysis Financial data analysis 	<ul style="list-style-type: none"> Fund Council ISPC Core Partners (11)
IV. Effectiveness							
6. Does the Humidtropics program effectively collaborate with its partners to achieve planned outputs and outcomes, maximize synergies, and enhance partner capacity?	<ul style="list-style-type: none"> Situational Analyses conducted Analysis of complex agricultural problems Entry points for innovation identified Capacity to innovate at farm, institutional & landscape levels: <ul style="list-style-type: none"> ✓ Innovation Platforms: <p>Xxx = Stage of development</p>	<ul style="list-style-type: none"> IITA and Core Partner records Other CG Records Humidtropics Implementation Plan (Appendix 6)- Not operationalized Aggregate Humidtropics Annual Work Plan 	Desk Review	<ul style="list-style-type: none"> Checklists Indicator Performance Matrix 	TBD	<ul style="list-style-type: none"> Content analysis Capacity assessment at the different levels Results Performance Analysis 	<ul style="list-style-type: none"> Fund Council ISPC Core Partners (11)

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
	<p>Yyy = Diversity of Innovations (public & private institutions , social, markets, & technical focus) Zzzz = Innovations in NRM</p> <p>✓ Scaling Up of Innovations: Xxx = Active engagement with partners Yyy = Enhancing capacity of governments to engage with the private sector to disseminate innovations. E.g. through PPPs</p> <p>✓ Information Sharing Platforms (Researchers Innovation networks)</p> <p>✓ Change Agents or Coalitions (Partners, Entrepreneurs, Part of innovation network)</p> <ul style="list-style-type: none"> • Humidtropics Program Implementation Outputs & Outcomes 						
7. To what extent does the overarching theory of change and impact pathway translate into site-relevant processes and research for development?	<ul style="list-style-type: none"> • Evidence of platform evolution in the following key elements of an integrated system: <ul style="list-style-type: none"> ✓ Processes ✓ Tools & Methods 	<ul style="list-style-type: none"> • Humidtropics Integrated Systems – Final Proposal • Area based flagship 	<ul style="list-style-type: none"> • Desk Review • KII with Flagship Managers • FGDs with farmers 	<ul style="list-style-type: none"> • Checklists • Interview guides • CRP Performance Matrix 	TBD	<ul style="list-style-type: none"> • Content Analysis • Progress Data Analysis 	<ul style="list-style-type: none"> • Fund Council • ISPC • Core Partners (11) • Flagship Leaders

Evaluation Questions and Sub-Questions	Illustrative Indicators or Information Needed	Data Sources (Primary and Secondary)	Data Collection Methods	Data Collection Instruments	Sampling Selection Criteria	Data Analysis	Target Audience (s)
	<ul style="list-style-type: none"> ✓ Sustainable Intensification ✓ Diversification ✓ Participation ✓ Trade-offs • Gender & Youth livelihood profiles • Trade-offs (between multiple objectives) 	<ul style="list-style-type: none"> projects records • IITA and Core Partner records • Cluster 4 Design & Performance Data – to-date • Googleforms 	focusing on Women & Youth				
8. To what extent does the Humidtropics' integrated systems approach plausibly lead to better and more holistic results, impact at scale and provide additional value to the CGIAR's capacity to deliver relevant international public goods that lead to impact?	<ul style="list-style-type: none"> • Benefits from an Integrated Systems approach: • Evidence of synergies within and among domains • Global Synthesis of key System Level Outcomes across all Action sites: • Diverse interventions <ul style="list-style-type: none"> ✓ Social ✓ Technical • Lessons Learned across the Flagships. • Building capacity to innovate across genders and generations) 	<ul style="list-style-type: none"> • Area based flagship projects records • IITA and Core Partner records 	<ul style="list-style-type: none"> • Desk Review • Success Stories 	<ul style="list-style-type: none"> • Checklists • Interview guides 	N/A	Content Analysis	<ul style="list-style-type: none"> • Fund Council • ISPC • Core Partners (11)

Annex 5.2 Evaluation Schedule

Work Plan for visiting Humidtropics Field Sites (June - August, 2015)

Color Coding			Work Plan for visiting Humidtropics Field Sites (June - August, 2015)																		
Dates	Tasks to be conducted		May-15				Jun-15					Jul-15					Aug-15				Sep
1-10	11-17	18-24	25-31	1-7	8-14	15-21	22-28	29-30	1-5	6-12	13-19	20-26	27-31	1-9	10-16	17-23	24-31	Sep			
Rosern	Team Leader & SRT 1																				
Christine	SRT 2																				
Eric	SRT 3																				
Rosern & Eric																					
Rosern & Christine	Joint Field work																				
ALL Team Members																					
	Deadline for delivery of the Final Evaluation Report																				
A. Pre-Inquiry Phase in the Field	Team works Offsite	Team drafts components of Inception Report																			
		Rosern submits Final Draft Inception Report for review by the IEA		May 12th																	
		Team incorporates comments from the IEA in Final Inception Report																			
		Rosern submits the Final Inception Report			May 19th																
		Team finalizes drafting of tools																			
		Team conducts desk review																			
		Team writes summaries from desk review																			
B. CAC: Field Visit to Nicaragua	Team works Offsite	Nicaragua Field Visit																			
		3-Jun Team arrival in Nicaragua																			
		4-Jun Team conducts key informant interviews																			
		5-Jun Team goes for Field Site Visits & conducts some FGDs																			
		6-Jun Team write-up outcome from KII, FGDs & field site visit																			
		7-Jun Sunday: Team Departs Nicaragua																			
		Uganda Field Visit																			
C. ECA: Field Visits to Uganda; Rwanda & DRC	Team works Offsite	24-Jun EAK arrival in Uganda																			
		25-Jun RR, EAK conduct key informant interviews																			
		26-Jun RR, EAK go for Field Site Visits & conduct some FGDs																			
		27-Jun Saturday: RR Off																			
		28-Jun Sunday: RR Off																			
		29-Jun RR, EAK write-up outcome from KII & field site visit																			
		Rwanda Field Visit																			
		30-Jun Team arrives in Rwanda (AM flight from Uganda & CN direct from US)																			
		1-Jul Team conducts key informant interviews																			
		2-Jul Team goes for Field Site Visits & conducts some FGDs																			
Write-up on Rwanda & DRC - Offsite	Team works Offsite	DRC Field Visit																			
		3-Jul EAK Departs; RR & CN Arrive in DRC																			
		4-Jul RR & CN go for Field Site Visits & conducts some FGDs																			
		5-Jul Sunday: RR & CN Depart DRC																			
		Jul 6 - 11 Team write-up outcome from KII & field site visit for Rwanda & DRC. In addition, conduct other Virtual Key Informant Interviews																			
D. WA: Field Visit to Nigeria & Writing Workshop	Team works Offsite	Nigeria Field Visit & Final Write-up																			
		9-Aug Sunday: Team arrival in Nigeria																			
		10-Aug Team goes to the Field & firms up Case Study for Nigeria																			
		11-Aug Team conducts writing workshop for draft report - Assigned Sections																			
		12-Aug Team distills key findings across all the regions for presentation to the Humidtropics team & IITA																			
		13-Aug Team presents preliminary findings to Humidtropics Team & IITA																			
		14-Aug Team departs Nigeria																			
E. Final Draft Report Write-up - Offsite	Team works Offsite	15-Aug Team departs Nigeria																			
		16-Aug																			
		17-Aug Team incorporates comments from the Humidtropics team in Respective Sections of Final Draft Evaluation Report																			
		18-Aug																			
		19-Aug																			
		20-Aug EAK & CN Submit their Sections to RR																			
		21-Aug RR reviews & compiles Final Report																			
		22-Aug																			
		23-Aug Sunday																			
		24-Aug Rosern submits Final Draft Evaluation Report for review by the Humidtropics Team																			
25-28-Aug Review of Final Draft Report by Humidtropics Team																					
28-Aug Feed back to CCEE																					
1-5 Sept Incorporation of comments into Final Evaluation Report by Rosern in collaboration with Team & submission																					

Annex 5.3 List of Persons Consulted During Inception Phase

Date	Name of Person Met/Consulted	Organization	Type of Consultation
April 28, 2015	Eric Koper	Humidtropics Executive Office	In Person
	Elena Figus	CG Audit Unit - Africa	In person
	Stephen & Michael		
April 29 th	Lisa Hiwasaki	Central Mekong Flagship	Virtual
	Jenin Assaf	IEA	Virtual
	Allison King		
	Tim Robinson	Global Synthesis (SRT 1)	In person
	Chris Okafor	East and Central Africa Flagship	Virtual
April 30 th	Kwesi Atta Krah	Humidtropics Executive Office	In Person
	Cees Leeuwis	Institutional Innovation – SRT 3	Virtual
	Rein van der Hoek	Central America and Caribbean Flagship	
	Latifou Idrissou	West Africa Flagship	
	Edmundo Barrios	NRM	In person
	Mark Lundy	SRT2.1 Marketing	Virtual
May 5, 2015	Ingrid Oborn	Central Mekong	BOT Meeting

Annex 5.4 Envisaged CCEE Report Outline

Title Page

Table of Contents

Acknowledgements

Acronyms

Executive Summary

The Executive Summary will consist of an abbreviated version of:

1. Evaluation Focus
 2. Concise Statement of Humidtropics Program Design & Context
 3. Methodology
 4. Findings
 5. Conclusions
 6. Recommendations
 7. Lessons Learned (as appropriate)
-

Main Report

I. Introduction

II. The Humidtropics Program Design and Response to Changing Context

III. Purpose of the Evaluation

IV. Evaluation Design and Evaluation Methodology

A summary table linking the Evaluation questions with data types and data sources.

Evaluation Question	Data Type	Data Source
1.	1.	
2.	2.	

V. Key Findings (Triangulation of data from our mixed methods approach)

VI. Conclusions

VII. Recommendations

VIII. Lessons Learned

IX. The Annexes

Annexes will be referenced in the main body of the report. These will include but will not be limited to:

- The Evaluation Terms of reference (TOR) with the revised List of Questions
- A complete description of the methodology, data collection instruments, and a description of the field site visits, the case studies and/or analysis procedures used.
- A list of persons interviewed especially at the field sites.
- In-depth analyses of specific issues in the report, including technical issues or additional information on the flagship contexts, such as maps and additional evidentiary documents of interest such as photographs.
- Key informant interview notes.
- Bibliography of documents reviewed.

Annex 5.5 Desk Review Template and Reporting Form

Evaluation Question	Data Sources to Answer the Evaluation Questions			Reviewer's Comments
	Evidence Required	Evidence Gathered from Document Reviews		
		CG Strategy Focus	Humidtropics Focus	

Annex 5.6 Key Informants Interview (KII) Guide and Reporting Form

The following guidelines and reporting template will be followed consistently by the Evaluation Team to ensure adherence to the CCEE methodology and development of a robust, transparent record.

Purpose

Key Informant Interviews (KIIs) are a major tool for CCEE information gathering and will be used to: (i) cross-check and elaborate on information compiled through desk review, (ii) gather new information, capture diverse perspectives, and (iii) elicit subjective assessments about program effectiveness.

Approach

Recognizing that agricultural systems in the humid tropics are complex, with multiple actors and disciplines, a broad set of stakeholders including, but not limited to, Humidtropics managers, researchers, partners, local actors, and relevant experts will be interviewed. Interviews will be conducted via telephone or skype. Perspectives and information shared by interviewees will be confirmed by additional sources of evidence before these are included as findings of the CCEE.

Mechanisms for selection of interviewees will ensure balanced representation across Flagships, geographies, sectors, and stakeholder types. Priority may be given to informants who have an understanding of multiple features or levels of the Humidtropics program.

Logistics

- Work from an outline of the specific questions to be asked (ie, different essential and optional questions will be appropriate for different informants) – *see the examples interview questions on pages 4-5 below.*
- Be prepared to provide an estimate of the time required for the phone call.
- If appropriate, plan to ask for further recommended contacts at the end of the phone call.
- Finish by thanking the interviewee for their participation, asking if they have any questions or comments, and informing them about when / how they can access the results of the CCEE.

Guiding principles

- Aim for similar quality / depth of information across interviews.
- Capture all relevant information in the reporting template in clear detail (i.e. this will represent CCEE evidence available for review by other Evaluation Team members or Humidtropics leaders).
- Be methodical when cross-checking information (e.g. *“Based on [A, B, C] sources, we understand that [D, E, F] are key factors – does that accurately capture the situation as you understand it?”*)
- Be clear about which types of information and perceptions should be tested through triangulation (i.e., ask multiple informants).

HUMIDTROPICS CCEE KEY INFORMANT INTERVIEW REPORTING TEMPLATE

Please complete the template below for each interview then upload electronically to the CCEE share drive.

1. Primary CCEE objective(s) for the interview (i.e. which of the eight overarching CCEE questions, and related indicators, will be emphasized):

[COMPLETE THIS QUESTION IN ADVANCE]

2. Details of interviewee (name, title, contact information):

3. Date and time of interview:

4. Mode of interview (e.g. telephone, skype):

5. Pertinent details (e.g. language used; challenges with scheduling or communication technology):

6. Brief description of interviewee's role / involvement in Humidtropics (1-3 bullet points):

7. Summary of major discussion points and insights (2-5 bullet points):

8. Issues raised requiring further information gathering or validation (2-6 bullet points):

9. Additional information: (optional)

10. References / resources: (optional)

EXAMPLE INTERVIEW SCRIPT

Introduction:

In collaboration with the Executive Office, two colleagues and myself are conducting a mid-term evaluation of the Humidtropics CRP. Since the program is only three years old, our main interest is to understand how well positioned the program is to deliver on its objectives. We are speaking with a diverse set of Humidtropics stakeholders to gather a wide range of perspectives and also looking at the written record. Later we will visit several Action Sites.

Project description:

Before contacting you, our team undertook web-based research that gave us a basic understanding of [XXX]. I'd like to develop a more in-depth understanding through our conversation today and with similar conversations that we will have with approximately [XXX] other people. Your expertise was brought to our attention by [XXX] and I appreciate your willingness to help with this work.

The interview:

The interview should only take about [XXX] of your time and will focus on improving our understanding the conditions and issues in [XXX – specific topic or geography] and

gathering your assessment of how effective the Humidtropics program has been. Before we finish, let's plan to leave time for any questions that you have about this project, but also please don't hesitate to ask any questions now or along the way.

EXAMPLE INTERVIEW QUESTIONS FOR KIIS RELATED TO SPECIFIC ACTION SITES

Basic information

- What are the most important features of this Action Site? (e.g. agricultural production, socio-economic conditions, markets, changing climate, policies)
- Were there any events (e.g. natural, political, social economic, conflicts), which affected this Action Site and caused important changes to take place in the last 25 years? Please mention the most important.

Risks and responses

- What are the principal risks or problems that have motivated actions and interventions catalyzed by the Humidtropics program?
- What barriers constrain people from mitigating these risks or problems? (e.g. inadequate financial resources or technical know-how; insecure tenure; weak market demand; or cultural or social barriers)
- What have been the most important public or private sector actions and interventions (e.g. in this Action Site) over the last five years?
- What were the primary sources of financial or non-financial support for these activities and interventions? (e.g. government, agribusiness, donors, community groups or local NGOs)

Participation

- Which groups were most involved in the design and implementation of these actions and interventions (ex, agricultural producers, local agribusinesses, community groups, women, youth)? What was the role of each of those groups?
- Who were the main governmental actors (national to local)?
- Do you think any actors/groups should have been involved who were not involved in the design of the actions and intervention?

Institutions and supportive activities

- Have there been any groups in the landscape who were leading or facilitating activities to support [*sustainable intensification / empowerment of women and youth / etc*]? If so, which groups and what were they doing?
- Have any new organizations or bodies been created to lead or facilitate [*sustainable intensification / empowerment of women and youth / etc*]? Or were there any existing groups, which, although they didn't fill this role before, took on this role?
- How were the activities of these new and existing groups financed? Was their funding limited or on-going?

Outcomes and effectiveness

Earlier, you mentioned [*whatever they mentioned*] action and interventions implemented through the Humidtropics program. Now I would like to ask you about the effectiveness of these actions and interventions in reaching goals or making progress.

- How effective have these actions and interventions been in supporting or incentivizing participatory, integrated approaches?
- What impacts (positive or negative) have the actions and interventions had on different groups (e.g. producers, community groups, women, youth) in the Action Site?

- Have these actions and interventions in any way coordinated action at a scale larger than farm or local community levels?

Lessons learned and general reflections

Finally, I would like to ask you to reflect critically on the Humidtropics program and share some of the lessons that you learned, and whether you think that integrated systems approaches, like the one of which you were a part, were effective and, if so, how they could be made more effective in the future.

- What was the most successful aspect of the Humidtropics actions and interventions that we have been discussing?
- What was the least successful aspect of these actions and interventions?
- If these actions and interventions had more time or resources, what might be done differently or are their additional investments/activities that you would recommend?
- Is there anything else important (about the Humidtropics program, this Action Site, etc) that you haven't had a chance to share?

Annex 5.7 Field Site Visit Guide and Reporting Form

The following protocols and reporting form will be used consistently by the Evaluation Team to ensure adherence to the CCEE methodology and development of a robust, transparent record.

Purpose.

Visits to Humidtropics field sites in Area-Based Flagships are intended to give Evaluation Team members an opportunity to interact with project leaders, researchers, partners, and other stakeholders in order to: (i) capture wider perspectives, (ii) cross-check the accuracy and prevalence of information, and (iii) enrich understanding of program design and processes, progress towards results, gender mainstreaming, partnerships, and the plausibility of the systems approach towards impact at scale.

Preparation:

Prior to each field visit, the Evaluation Team will prepare a draft case study based on desk review and virtual interviews and develop a list of outstanding questions or issues to be further investigated through the site visit.

Format.

Site visits will include: (i) meetings with project leaders, (ii) interviews with system actors, (iii) direct observation of project activities, and (iv) focus group discussions, as appropriate. In general, on-site meetings will be scheduled for 1-3 hours in duration and should include the following elements:

- 1) Greetings and introductions (~5 minutes).
- 2) Brief description by Evaluation Team of the CCEE scope and objective of visit, including specifying outstanding questions or issues identified through development of preliminary case study (~5 minutes).
- 3) Quick overview by interviewee of site characteristics including project partners and major activities (~10 minutes).
- 4) In-depth discussion of outstanding questions or issues (~30-60 minutes).
- 5) Opportunity for interviewee to pose questions or offer reflections (~5 minutes).
- 6) Summary by Evaluation Team of main discussion points and new learning relevant to the CCEE (~5 minutes).
- 7) *(As appropriate)* A focus group discussion with a small, pre-identified group to gather information and perspectives related to a clearly-defined question or issue that has been identified through development of a preliminary case study (~1.5 hours).
- 8) *(As appropriate)* An opportunity to walk the community or the project to informally gather information on the biophysical, cultural, or socio-economic context of the site (0.5-1 hour).

HUMIDTROPICS CCEE SITE VISIT REPORTING FORM

Please complete the template below for each meeting conducted during field site visits then upload electronically to the CCEE share drive.

1. Primary CCEE objective(s) for site visit (e.g. gather perspectives of Innovation Platform participants; cross-check draft case study information; understand application of gender initiatives):

[COMPLETE THIS QUESTION IN ADVANCE]

2. Date and time of site visit:

3. Location visited (as detailed as possible including travel time from overnight accommodation):

4. Details of site observers (name, title, contact information):

Evaluation Team:

Others:

5. Contacts at field site (name, title, contact information):

Focal point:

Others:

6. Language and translation (details of communication among Evaluation Team and on-site stakeholders):

7. Pertinent details (e.g. payments to participants; weather conditions; logistical issues; changes in scheduled activities or contacts):

8. Brief description of the site (200 words maximum focusing on major characteristics, context, and significant influencing factors):

9. Brief description of on-site projects and activities (200 words maximum):

10. Responses for outstanding questions and issues (focus on updates to draft case study):

[PREPARE LIST OF QUESTIONS / ISSUES IN ADVANCE]

11. Additional information:

12. References / resources:

Annex 5.8 Case Study Guide

The following guidelines and protocols will be followed consistently by the Evaluation Team to ensure adherence to the CCEE methodology and development of a robust, transparent record.

Purpose.

Case studies are primarily intended to enrich understanding of specific aspects of the Humidtropics program and will be directed toward answering one or more of the eight overarching CCEE questions.

Final case studies will be included in the Evaluation Report.

Approach.

Case studies will be developed through targeted review of program documents and other literature and phone- or skype-based interviews with a representative set of stakeholders including, but not limited to, Humidtropics managers, researchers, partners, local actors, and relevant experts.

Information-gathering for case studies will seek to capture ‘success stories’ as well as missteps, strategy adaptations, unexpected outcomes, mixed results, and uneven progress in order to understand the trajectory of an Action Site or cross-cutting issue as accurately as possible.

The Team will ensure that perspectives and information shared by interviewees are confirmed by additional sources of evidence before inclusion in the case study.

Selection of case study topics.

Case study selection will align with the CCEE’s formative and forward-looking approach. Two types of case studies will be used.

1. Sites selected for field visits in Area-Based Flagships. For each of the 4-5 selected site, a preliminary case study will be developed based on desk review and phone- or skype-based interviews and then refined based on direct observation, on-site interviews, and/or focus group discussions. Each site-specific case study will also emphasize the topical focus that prompted selection of the site.
2. A limited number of case studies (2-3) will be developed for topics of special interest (e.g. cross-cutting research issues). Topics will be selected by the Evaluation Team following initial review of available literature and early rounds of key informant interviews.

The case studies are not intended to be representative of the full set of Humidtropics field sites.

Format.

The case studies will be brief in descriptive content and devote primary attention to drawing out key lessons and implications for the Humidtropics program. Final versions

of each case study will be 1-2 pages in length (maximum 1,000 words)⁵ and should clearly communicate how the specific topic addresses one or more of the eight overarching CCEE questions. Case study text may be complemented by supporting figures, tables, and images. More detailed background information can be accommodated in an Annex of the Final Evaluation Report.

Case studies should include the following elements:

1. Summary (2-3 sentences)
- 9) Description of information-gathering methods and analysis approach used, including specific reference to one or more of the eight overarching CCEE questions (2-4 sentences)
- 10) Description of major case study features, e.g. geographic or topical scope, timeframe, key actors and drivers, contextual factors (2-3 paragraphs)
- 11) Detailed information that specifically addresses the central case study topic (2-4 paragraphs)
- 12) Current status and near-term anticipated outcomes (2-3 sentences)
- 13) Synopsis of how case study information contributes to answering one or more of the eight overarching CCEE questions (2-3 sentences)
- 14) List of individuals interviewed including contact details
- 15) List of resources to be included in the Final Evaluation Report

⁵ Preliminary drafts may be longer as key messages may not be obvious in interim stages of case study development

Annex 5.9 Focus Group Discussion Guide for Producer (Farmer) Organizations

Name of Producer Organization (PO):	
Flagship Area:	
Membership (numbers by gender):	
Date when PO engaged with Humidtropics Platform	
Main Activities of the Producer Organization:	

Benefits

1. How have you benefited from your participation in the Humidtropics activities as individuals? (probe for difference in benefits to men and women)
2. How have you benefited from your participation in the Humidtropics activities as a producer organisation? (probe for information on knowledge gained on production technologies; area under production/ farming methods/ acquiring inputs/ PHH and marketing, relationships with other organizations)
3. Considering your main objective as a PO, what has been the main achievement of the PO as a result of participating in the Humidtropics program?

Training Support

1. What is your perception of the different trainings received, if any, through the Humidtropics program (probe for adequacy of the trainings and approaches)?
2. Which trainings were most useful and Why?
3. How can the trainings be improved?
4. As POs, how have you shared the knowledge and skills acquired through the Humidtropics project with other members of your community?
5. What can be done to improve the Humidtropics program to continue providing services to farmers in this region?

Challenges

1. What challenges have you faced as POs while participating in the Humidtropics activities?
2. How did the Humidtropics program assist you to address the challenges?

Sustainability

1. Would you continue practicing the skills gained after the Humidtropics Project activities? (yes or no)
2. If yes, which activities/interventions would you continue?
3. Which ones would not continue and why?

Annex 6.0 Illustrative Online Survey Questionnaire

This is a DRAFT/SAMPLE survey. The survey will be sent to the Humidtropics staff and partners between 15/6/2015 and 15/7/2015. The introductory part is based on the survey used for the evaluation of CRP-FTA (IEA 2014) adapted to Humidtropics CCEE.

Types of answers:

- ✓ Text (short answers in text)
- ✓ Paragraph text (long answer to elaborate on a topic)
- ✓ Multiple choice (allows to pick one of many options)
- ✓ Checkboxes (allows to pick more than one of many options)
- ✓ List (allows to pick one answer from a list)
- ✓ Scale (allows to quantify perception data)
- ✓ Grid (scale in a matrix, adds a second dimension)

A. Background Information:

Questions	Type of answers
Please indicate your host institution	checkbox
What is your job title within the home organization?	text
Since when do you work with your home institution?	list
In what country are you currently based?	list
What Flagship program are you associated with?	multiple choice
What share of your work time was dedicated to Humidtropics activities in 2014 and 2015?	list
To what CRPs other than CRP Humidtropics are you contributing or have contributed in 2014/ 2015?	checkboxlist
How well do you know the CRP-DS? <ul style="list-style-type: none"> - Vision and mission - Objectives - Theory of Change and Impact Pathway - Governance and Management - Gender Strategy - Capacity Building Strategy 	Grid (Scale) (very well, well, a little bit, not quite, not at all)
How would you rate your contributions through your projects to the Strategic Research Themes: <ul style="list-style-type: none"> - Strengthening innovation systems - Building stakeholder capacity - Linking knowledge to policy actions - Reducing vulnerability of rural communities 	Grid (Scale) (very significant, significant, moderate, weak, no contribution)

B. Operation of the Humidtropics Program

1. Major significant components currently operational of the HT's initiative in programs I am working with include (pick two most important at this point):
 - a) Creating a partnership of institutions to realize tangible improvements in agriculture related activities of rural populations in the Humidtropics . (...).
 - b) Conducting quality research in farmers' environment to clarify innovations for scaling-up by family farmers. (...)
 - c) Ensuring that women and youth are well looked after in future development activities. (...)
 - d) Conducting research that will optimize income of farm families in sustainable ways (...)
 - e) Involving government decision makers in the initiative to ensure ownership to enable future scaling up of farmer adoption (...)
 - f) Creating baselines of information about farm typologies to guide interventions and serve as a reference points for impact analysis (...)
 2. To what extent are government officials at the state or federal level familiar with work being conducted by Humidtropics partners at the field level?
Not at all (...)
Somewhat (...)
Very aware (...)
Don't know (...)
 3. How much opportunity do you have to shape decisions on what is actually done and the resources (financial and human) that are allocated to the program of work in your Flagship (s)
Not at all (...)
Somewhat (...)
A reasonable opportunity (...)
Don't know (...)
 4. The Humidtropics is attempt to engender an inclusive process in identifying key constraints for sustainable intensification that leads to livelihood enhancement of family farmers. Are you aware of other projects in your region with similar approaches and goals? (Yes.....) (No.....). If yes, please name them:
-

C. Targeted Questions for different Stakeholder Groups

1) To what extent are the critical research and development partners, including the private sector and women-focused stakeholders, coherently engaged in innovation development and in catalyzing change?

1.Target: Flagship Project Leaders, Action Area Leaders, Thematic Leaders, CGIAR Core Program Partner focal-points:

1.A) To what extent are the critical research and development partners, including the private sector and women-focused stakeholders, coherently engaged in innovation development and in catalyzing change? With respect to components of the innovation Impact Pathway?

(1= very little; 3= adequate engagement; 5= great engagement)

Give examples of cases where institutional convergence is very good; and give an example of where there is great scope for convergence enhancement.

1.B) To what degree are private sector dealers of inputs and marketers, who are often critical partners in actually scaling up development innovations, engaged in the planning and implementation of tangible activities aimed at the Intermediate Development Objectives (IDOs) and System-level Objectives (SLOs)?

(1= very little; 3= adequate engagement; 5= great engagement)

Give examples of cases where institutional convergence is very good; and give an example of where there is great scope for convergence enhancement.

1.C) Do you agree or disagree with the statement: The recent (2014) introduction of “Intermediate Development Objectives” in the HumidTropics’ Strategy and Results Framework has enhanced inclusion of stakeholders in the planning and implementation of tangible activities. The six IDO’s include: Income; Nutrition, Productivity, Environment, Gender, and Innovations (catalyzing change)

On scale of 1 to 5, please rate level of agreement: 1 = do not agree this was really helpful; 3 = this management shift was sometimes helpful; 5 = this management/planning shift strongly helped shape vision of goals and roles and thereby enhanced partnerships of key players and institutions.

1.D) Do you agree or disagree with the statement: At my level of involvement, I (we) are strongly engaged in planning yearly activities and discussions on allocation of funds to enable implementation of agree workplans.

On the scale of 1 to 5 please rate level of agreement: 1 = do not agree that I am strongly involved in planning and budget allocation for activities in my area of competence/responsibility; 3 = I am somewhat involved; I strongly agree that I am involved in planning activities and can express opinions on process and budget allocation.

2) Target Questions for R & D partners from NARES and Civil Society, including NGOs, Private Sector (dealers, service providers, marketers, etc.)

2.A. (Regarding relevance to needs and opportunities) Do you agree with the statement? The HumidTropics Innovation platform is well focused on critical aspects of R & D that will help leverage change of improved livelihoods, food security, health, environmental sustainability and social equity.

1= I do not agree that the Initiative is well focus in my target area of development; 3 = I pretty much agree; 5= I strongly agree and count on the Initiative to foster through partnerships critical innovations and their applications.

2.B. The shared vision and alliance for action among stakeholder of the HumidTropics Initiative in my country can be characterized as follows for the 4 levels:

- a) Federal Level (1= poorly understood; 5= well understood with strong engagement)
- b) State Level (1= poorly understood; 5= well understood with strong engagement)
- c) Flagship Project Level (1= poorly understood; 5= well understood with strong engagement)
- d) Action Area level (1= poorly understood; 5= well understood with strong engagement)

2.C. To what extent are the critical research and development partners, including the public sector, private sector and women-focused stakeholders, coherently engaged in innovation development and in catalyzing change?

(1= very little; 3= adequate engagement; 5= great engagement)

Give examples of cases where institutional convergence is very good; and give an example of where there is great scope for convergence enhancement.

2.D) To what extent are the critical research and development partners, including the private sector and women-focused stakeholders, coherently engaged in innovation development and in catalyzing change? With respect to systems R & D of the innovation Impact Pathway?

(1= very little; 3= adequate engagement; 5= great engagement)

Give examples of cases where institutional convergence is very good; and give an example of where there is great scope for convergence enhancement.

3. Questions for Managers and Policy-makers of Public and Private Sector Institutions.

3.A. (Regarding relevance to needs and opportunities) Do you agree with the statement? The HumidTropics Innovation platform is well focused on critical aspects of R & D that will help leverage change of improved livelihoods, food security, health, environmental sustainability and social equity.

1= I do not agree that the Initiative is well focus in my target area of development; 3 = I pretty much agree; 5= I strongly agree and count on the Initiative to foster through partnerships critical innovations and their applications.

3.B. The shared vision and alliance for action among stakeholder of the HumidTropics Initiative in my country can be characterized as follows:

Federal Level (1= poorly understood; 5= well understood with strong engagement)

State Level (1= poorly understood; 5= well understood with strong engagement)

Flagship Project Level (1= poorly understood; 5= well understood with strong engagement)

Action Area level (1= poorly understood; 5= well understood with strong engagement)

3.C. To what extent are the critical research and development partners, including the public sector, private sector and women-focused stakeholders, coherently engaged in innovation development and in catalyzing change? With respect to both components and systems-research and development of the innovation Impact Pathway?

(1= very little; 3= adequate engagement; 5= great engagement)

Give examples of cases where institutional convergence is very good; and give an example of where there is great scope for convergence enhancement. Suggest processes that would enhance engagement and partnerships in the research for development goals.

3.D) The Humidtropics management fosters strong trust among members through transparency and empowerment?

- 1) Not generally
- 2) Generally
- 3) Nearly always

3.E) Consideration is given by Humidtropics stakeholders to innovation needs of landless, women, farm labor and other marginalized peoples.

- 1) Not generally
- 2) Generally

- 3) Nearly always

3.F) Documenting and pilot testing innovations addressing social inequality and plights of landless and others currently marginalized, should be beyond the remit of an international initiative like the Humidtropics in the context of the host country of Flagships activities.

- 1) Such work is very welcome
- 2) Such work should be discussed and cleared at the appropriate levels at the very onset.
- 3) Such work is totally inappropriate.

3.G) Having the Humidtropics help national programs to articulate policy, strategy and advocacy messaging on innovations that target natural resource management and stewardship is:

- 1) Very welcome.
- 2) Such work should be discussed and cleared at the appropriate levels at the very onset.
- 3) Such work is totally inappropriate.

3.H. The state and federal governments benefiting from the Flagship activities would welcome Humidtropics management to organize stakeholders in strategic alliances (including public and private sector with civil society) to help development coherent programs of work toward shared development goals?

- 1) Very welcome.
- 2) Such work should be discussed and cleared at the appropriate levels at the very onset.
- 3) Such work is totally inappropriate.

Note: 3H, 3G, 3I might be better used to raise understanding about how governments of the Flagship see HT's role beyond research.

3.I. The flagship project action and 'action-area' in my country **reflects our priorities** toward sustainable intensification and diversification to address food insecurity, income generation, natural resource stewardship and social inequalities.

1. Our government does not see the agroecology nor the chosen innovation pathway to be a high priority;
2. Our government feels the target of the research for development and the process (innovation pathway) to be of medium priority (could be better, could be worse);
3. Our government strongly endorses the choice of agroecology and the chosen innovation pathways to be of very high priority.

Annex 6.1 Stakeholder Consultation

Stakeholder group (note: some people are in more than one group)	Proposed means of consultation and dissemination (Note that a single meeting/briefing may be targeted to more than one stakeholder group - see paragraph)
CGIAR Independent Evaluation Arrangement (IEA) Advisory Committee and IITA Board (governance)	Requested for comments on inception report and draft report Opportunity for discussion of findings and provisional recommendations via VOIP/Web conferencing Presentation of final report on request
Management Committee	Represented on Oversight Group Discussion of findings and provisional recommendations via VOIP/Web conferencing Will be requested for comments on inception report and draft report Presentation of final report on request
Humidtropics management, Flagship leaders and Focal Points	Key Informants in main phase Will be requested for comments draft report Presentation of final report on request (via webinar)
CGIAR and Humidtropics Staff	Online survey in main phase of evaluation Opportunity for discussion of findings and provisional recommendations via webinar presentation Requested for comments on draft report
CGIAR communities of practice: e.g. gender and nutrition, capacity development	Will be requested for comments on Case studies and relevant sections of draft final report including provisional recommendations. Opportunity for briefings and/or VOIP/Web conferencing discussions on specific relevant findings and recommendations
Central CGIAR institutions: Consortium, Fund Council, ISPC, IEA	IEA is represented on Oversight Group Open-ended interviews at inception stage Requested for comments on inception report and draft report Discussions of findings and possible recommendations. Presentation of final report on request (via VOIP/Web conferencing)
Relevant CGIAR Centers and CRPs	Open-ended interviews at inception stage Key Informant interviews in main phase Will be requested for comments on draft evaluation report Opportunity for discussion of findings and provisional recommendations via webinar presentation Presentation of final report on request (via webinar)
Funders – bilateral and CGIAR Fund	Opportunity for discussion of findings and provisional recommendations via VOIP/Web conferencing Opportunity for comments on draft evaluation report. Opportunity for presentation of final report (via VOIP/Web conferencing)
Humidtropics partners – especially in country	International partners represented in Area Flagship Key informant interviews of partners connected to the selected project sites country visits
Humidtropics stakeholders – especially in country	Key Informant & Focus Group interviews of a limited number of stakeholders connected to the selected in country visits. This will focus on farmer organizations working in the same area.