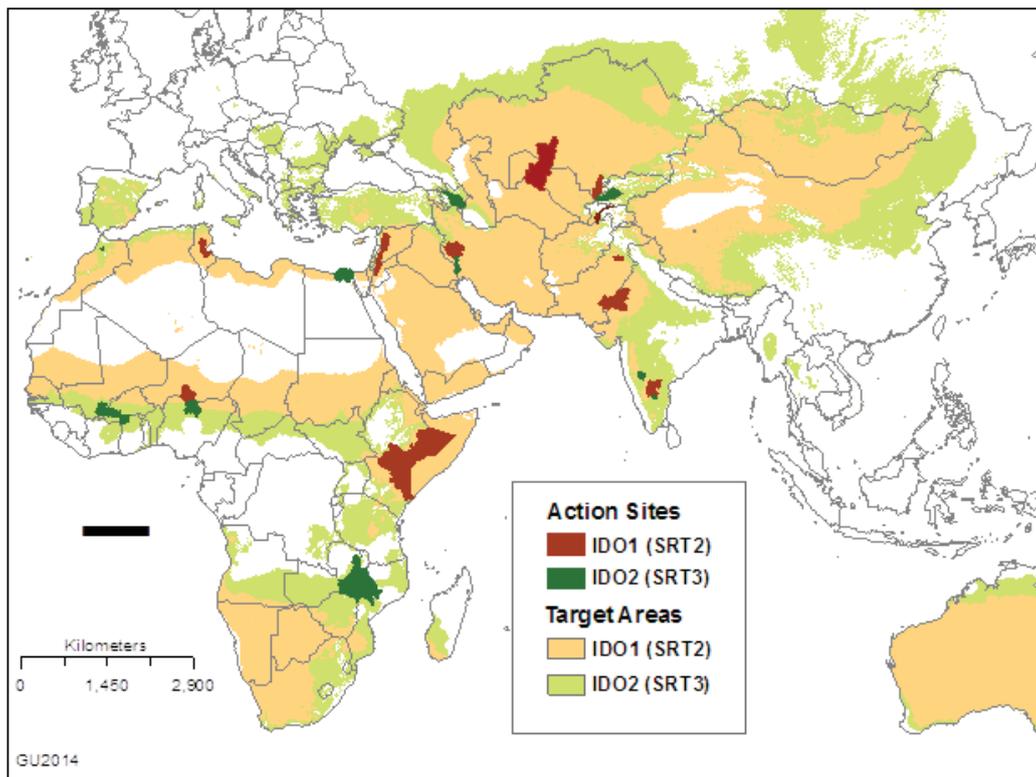


## Invitation for Proposal

### CRP-Commissioned External Evaluation *CGIAR Research Program on Dryland Systems*

The CGIAR Research Program on Dryland Systems (CRP-DS) seeks the services of consultants to undertake a CRP-Commissioned External Evaluation (CCEE) for the program. This follows the direction of the CGIAR Fund Council (FC), in agreement with the Consortium Office (CO), in November 2013.

**Figure-1: CRP-DS Target Areas and action sites**



The CCEE has three objectives:

1. Verify the continued relevance and validity of the CRP-DS and of the planned impact pathways.
2. Assess progress towards achievements on the major research areas of the CRP-DS since their date of approval.
3. Assess the adequacy of systems in place for good organizational performance (governance, partnership, management, planning, monitoring and evaluation, and accountability).

The purpose of the CCEE is therefore:

1. Enhance the contribution that CRP-DS is likely to make to reaching CGIAR goals and to solving evolving global, regional aims to identify and develop resilient, diversified and more productive combinations of crop, livestock, rangeland, aquatic and agroforestry systems that increase productivity, reduce hunger and malnutrition, and improve quality of life for the rural poor.

2. Provide useful evaluative information to CRP-DS stakeholders to inform the development of their full proposals for the new CRP funding cycle (second Call for CRP proposals).
3. Inform the CRP appraisal process by the Independent Science & Partnership Council (ISPC), the FC and the CO with respect to the adequacy of structures and systems put in place and the likelihood of achieving results.
4. This evaluation is forward-looking and informative, and will seek to provide lessons learnt and recommendations for the future.

In addition it will inform management and relevant CRP staff of the performance of the program component evaluated for learning and adjustment and to feed into immediate decisions by senior managers such as:

- a. what adjustments need to be made to research lines, management and partnerships.
- b. whether to modify the skill and disciplinary mix of researchers.
- c. whether to continue, increase or decrease funding to particular themes or research components.

**TIMETABLE:**

The duration of the evaluation should start on January 2015 for a maximum of 6 months. The final report should be delivered by the end of July 2015.

**INQUIRIES AND SUBMISSION:**

All the applicant shall forward inquiries to the following: Richard Thomas, CRP-DS Director, [r.thomas@cgiar.org](mailto:r.thomas@cgiar.org); or Enrico Bonaiuti, CRP-DS Research Program Coordinator, [e.bonaiuti@cgiar.org](mailto:e.bonaiuti@cgiar.org). Inquiries and replies will be published online at <http://drylandsystems.cgiar.org>.

Answers will be for the benefit of all proponents. Inquiries sent to the above email addresses will only be responded to via the website, and not as a reply to the email. Place in subject head: CRP-DS CCEE. Inquiries will be answered up until November 10<sup>th</sup>.

Interested individuals (Team Leader and Team Members) must provide the following:

1. clear and specific expression of interest with evidence of their background, qualifications and experience relevant to the assignment;
2. indication of interest in function (Team Leader or Team Member);
3. updated CV;
4. daily consultancy fee.

All documents must be in English.

Applications must be submitted by 30 November 2014 COB.

While applications for the team leader and team members are invited at the same time, the team leader will be selected first and consulted for the selection of team members.

**FUNDING and PAYMENT:**

The Lead Center, ICARDA, will contract the individuals and pay fees according to the contract.

The Lead Center will support all the logistics expenses and events costs directly. Travels are intended in economy class as per the policy of ICARDA (the Lead Center of the CRP).



## Terms of Reference

### CRP-Commissioned External Evaluation *CGIAR Research Program on Dryland Systems*

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## Abbreviations and acronyms

ALS	Agricultural Livelihood System
AR	Annual Report
Bioversity	Bioversity International
CCEE	CRP-Commissioned External Evaluation
CD	Capacity Development
CIAT	International Center for Tropical Agriculture
CIP	Centro Internacional de la Papa
CO	Consortium Office
CRP	CGIAR Research Program
CRP-DS	CGIAR Research Program on Dryland Systems
EP	Extension Proposal
EPMR	External Programme and Management Review
FC	Fund Council
G&M	Goverance and Management
ICARDA	International Center for Agricultural Research in Dry Areas
ICRAF	International Centre for Research in Agroforestry
ICRISAT	International Crops Research Institute for the Semi-Arid-Tropics
IDO	Intermediate Development Outcome
IEA	CGIAR Independent Evaluation Arrangement
ILRI	International Livestock Research Institute
ISAC	Independent Science Advisory Committee
ISC	Independent Steering Committee
ISPC	Independent Science & Partnership Council
ITF	Independent Task Force
IWMI	International Water Management Institute
M&E	Monitoring and Evaluation
OC	Oversight Committee
PIA	Program Implementation Agreement
PMO	Program Management Office
POWB	Plan of Work and Budget
PPA	Program Participant Agreement
QAAP	IEA Quality Assurance Advisory Panel
R&D	Research and Development
R4D	Research-for-Development
RMC	Research Management Committee
S&IM	Science and Implementation Workshop
SC	Steering Committee
SLO	System-Level Outcome
SRF	Strategy and Results Framework
SRT	Strategic Research Themes
SWOT	Strengths, Weaknesses, Opportunities and Threats
ToR	Terms of Reference

## Introduction

The CGIAR Research Program on Dryland Systems (CRP-DS) seeks the services of consultants to undertake a CRP-Commissioned External Evaluation (CCEE) for the program as decided by the Fund Council (FC), in agreement with the Consortium Office (CO), in November 2013.

Research in the CGIAR is guided by the Strategy and Results Framework (SRF), which sets forth the System's common goals in terms of development impact (System-Level Outcomes [SLOs])<sup>1</sup>, strategic objectives and results in terms of outputs and outcomes. The SRF was first approved in 2011 and is in the process of being updated. Currently the CGIAR's research agenda is implemented by the CGIAR Centers and their partners through 16 multi-partner CGIAR Research Programs (CRPs). It is funded through a pooled funding mechanism in the Fund<sup>2</sup> and bilateral funding to Centers. In the SRF Management Update forthcoming in 2014 a set of Intermediate Development Outcomes (IDOs) linked to the high level impact goals will be defined to form the operational results framework for the CRPs.

This evaluation is intended to verify the continued relevance and validity of the CRP-DS and of the planned impact pathways; assess progress towards achievements on the major research areas of the CRP since their date of approval; assess the adequacy of systems in place for good organizational performance (governance, partnership, management, planning, monitoring and evaluation, and accountability). This evaluation will be conducted by an independent team of consultants not associated with the implementation, design or formulation of the program at any stage.

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<sup>1</sup> Four system level outcomes are: reducing rural poverty (SLO1), increasing food security (SLO2), improving human nutrition and health (SLO3) and more sustainable management of natural resources (SLO4)

<sup>2</sup> 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.

## 1. Overview of CRP-DS

### 1.1 Purpose of CRPs

According to the CGIAR summary document, ‘Changing Agricultural Research in a Changing World - A Strategy and Results Framework for the Reformed CGIAR’, CRPs will be the main organizational mechanism for planning and conducting research and will be built on three core principles:

1. Impact on the four system-level outcomes (SLOs);
2. Integration<sup>3</sup> across CGIAR core competencies; and
3. Appropriate partnerships at the different stages of R&D.

and also ‘CGIAR research will reflect the important role of women in agriculture’.

The CRPs are intended to allow better coordination of Research-for-Development (R4D) efforts, enhance efficiencies, and encourage cooperation and collaboration with a focus on effective partnerships to achieve more development-oriented impacts.

CRPs bring with them a long history of CGIAR center-based research. CRPs were introduced to provide increased focus on urgency, relevance and feasibility of agricultural research and to contribute to development goals (specifically the SLOs). “CRPs could be expected to help transition from a compilation of earlier activities to a coherent program agenda well aligned to the SLOs” (ISPC White Paper 1<sup>4</sup>). While development outcomes might previously have been considered beyond the research centers’ remit, development outcomes are now the *raison d’être* of the CRP.

One of the fundamental shifts to the CRP model has been the requirement for linkages to other research, development, civil society, and private sector organizations that will allow tested research innovations to reach policy makers, farmers, communities and the market place in a way that will generate or contribute to the IDOs; and to increase geographical reach through those partnerships.

### 1.2 CRP-Dryland Systems (DS)<sup>5</sup>

CRP-DS is an integrated global research initiative that aims to identify and develop resilient, diversified and more productive combinations of crop, livestock, rangeland, aquatic and agroforestry systems that increase productivity, reduce hunger and malnutrition, and improve quality of life for the rural poor. It is a very large program combining several research disciplines, including crop selection and rotations, natural resource management, and socio-economics. CRP-DS takes an integrated agro-ecosystems approach to R4D. Eight centers participate in the CRP-DS harmonized and optimized the program workplan as detailed in the proposal and extension proposal documents<sup>6</sup>. The CG Partner Centers are presented in the table.

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<sup>3</sup> The meaning of the second phrase ‘integration across CGIAR core competencies’ is not explained in the 2<sup>nd</sup> Call guidance. It can be interpreted as making optimal use of the competencies within the CRPs, each of which has more than one Centre as a member (CCEE Common Framework for CRP CCEE part 1, June 2014).

<sup>4</sup> Strengthening Strategy and Results Framework through Prioritization.

<sup>5</sup> A summary of CRP-DS is presented in this section. Reference documents are the Program Proposal (2013), 2013 Annual Report, Plan of Work and Budget 2014 and the Extension Proposal for the period 2015-2016.

<sup>6</sup> [http://drylandsystems.cgiar.org/sites/default/files/CRP1-1\\_Dryland\\_Systems\\_Proposal%20%281%29\\_0.pdf](http://drylandsystems.cgiar.org/sites/default/files/CRP1-1_Dryland_Systems_Proposal%20%281%29_0.pdf);  
[http://drylandsystems.cgiar.org/sites/default/files/Dryland%20Systems%20Extension%20Proposal\\_0.pdf](http://drylandsystems.cgiar.org/sites/default/files/Dryland%20Systems%20Extension%20Proposal_0.pdf)

**Table-1: CRP-DS Partner Centers**

Acronyms	Center	Location
ICARDA	International Center for Agricultural Research in Dry Areas	Beirut, Lebanon
ICRISAT	International Crops Research Institute for the Semi-Arid-Tropics	Hyderabad, India
ICRAF	International Centre for Research in Agroforestry	Nairobi, Kenya
ILRI	International Livestock Research Institute	Nairobi, Kenya
IWMI	International Water Management Institute	Colombo, Sri Lanka
Bioversity	Bioversity International	Rome, Italy
CIP	Centro Internacional de la Papa	Lima, Peru
CIAT	International Center for Tropical Agriculture	Cali, Colombia

CRP-DS primarily contributes to reducing rural poverty (SLO 1) and to increasing food security (SLO 2), but research is also supposed to contribute to sustainable management of natural resources (SLO 4) and to improve nutrition and health (SLO 3). Finally, CRP-DS also contributes to meeting explicit gender and capacity building related goals of the Consortium.

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

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

- Enhanced and equitable agricultural innovation systems that link interventions to policy and improve the impact of research and development;
- Less vulnerable, more resilient rural communities that can better mitigate risk;
- Productivity growth through sustainable intensification of dryland systems at the farm and landscape levels; and
- More resilient and productive dryland agroecosystems that can cope with increased land pressure, climate variation, and other forms of stress.

Following this, four Strategic Research Themes (SRTs) form the core of the CRP-DS research and impact strategy :

- SRT1: Approaches to strengthening innovation systems, building stakeholder innovation capacity, and linking knowledge to policy action
- SRT2: Reducing vulnerability and managing risk
- SRT3: Sustainable intensification for more productive, profitable and diversified dryland agriculture with well-established linkages to markets

- SRT4: Anticipating and measuring impacts and cross-regional synthesis.

The main assumptions of the research design detail in the program proposal document are:

- For a significant proportion of livelihood systems in the most vulnerable and degraded dryland areas, reducing risk and improving stability and resilience is a fundamental priority, a significant livelihood gain, and a prerequisite for enhancing productivity. The extent to which this assumption holds will be studied in SRT2.
- Substantial and sustainable production increases can be realized through innovations that will lead to intensification and diversification of production systems and the development of the necessary value chains integrated with an agro-ecosystems approach. The extent to which this assumption holds will be studied in SRT3.
- The complex nature of the pathway to generating outputs and outcomes in CRP-DS can be captured only with the help of biophysical and socioeconomic models that function at different scales. These can provide the necessary insights to inform the innovation systems and to generate the information, communication, and knowledge-transfer needs for up- and out-scaling of the innovations and for measuring their potential impact. The system analysis platform needed to test this assumption and verify models with real-time information will be elaborated in SRT4.

The full impact pathways with the the SLOs, IDOs, SRTs, outputs and activities is available in the proposal and extension proposal documents of the CRP-DS (see footnote 6)

### 1.3 Resources

The total budget allocated for research activities associated with the four components listed above is US\$ 178.6 million over three years (2013-2015).

The table below illustrates the distribution of the budget amongst the four components. STR 2 and STR 3 are the largest in terms of funding, representing 64% of total research funding, while SRT 4 is the smallest. The share of the budget dedicated to SRT1 is 21% of total research funding.

**Table-2: SRTs budget share**

Themes	Budget (M-USD)	Share %
Inception phase (2012)	30,737	
SRT 1 (2013-2015)	31,326	21%
SRT 2 (2013-2015)	49,290	33%
SRT 3 (2013-2015)	45,652	31%
SRT 4 (2013-2015)	21,602	15%
Total	147,870	100%
Total with Inception	178,607	

The budget also includes US\$4.7 million for activities cross-cutting the four SRTs, including: integrating gender into the research activities, and coordination.

**Table-3: Funding for Program Coordination and Gender**

	Inception 2012	2013	2014	2015	Total
Program Coordination	470	175	1,075	1,250	2,970
Gender	-	100	700	1,000	1,800
<b>Total</b>	<b>470</b>	<b>275</b>	<b>1,775</b>	<b>2,250</b>	<b>4,770</b>

The dry areas of the developing world occupy about 3 billion hectares, or 41% of the earth's land area, and are home to 2.5 billion people, or more than one-third of its population. About 16% of this population lives in chronic poverty. The level of ambition for this program has been set very high, targeting 800 million people living in West Africa Sahel and the Dry Savannas, North Africa & West Asia, East & Southern Africa, Central Asia & the Caucasus, and South Asia with quantitative impact targets after 10-12 years of implementation.

**Table-4: CRP-DS 2012-2015 Budget (x1,000 USD) by Flagship Project and CGIAR Center (includes resource allocation to non- CGIAR partners)**

	ICARDA	ICRISAT	ILRI	CIP	IWMI	ICRAF	Bioversity	CIAT	Total
<b>Year 2012</b>									
Inception phase	16,434	6,053	3,547	566	1,012	1,932	621	572	30,737
<b>Total</b>	<b>16,434</b>	<b>6,053</b>	<b>3,547</b>	<b>566</b>	<b>1,012</b>	<b>1,932</b>	<b>621</b>	<b>572</b>	<b>30,737</b>
<b>Year 2013</b>									
West African Sahel & Dry Savannas (WAS&DS)	941	1,832	216	188	95				3,272
North Africa & West Asia (NA&WA)	12,363								12,363
East and Southern Africa (E&SA)	471	2,199	4,359		220	2,323	676	586	10,834
Central Asia (CA)	1,571			223	273				2,067
South Asia (SA)	2,338	3,298	579		137		432		6,784
<b>Total</b>	<b>17,684</b>	<b>7,329</b>	<b>5,154</b>	<b>411</b>	<b>725</b>	<b>2,323</b>	<b>1,108</b>	<b>586</b>	<b>35,320</b>
<b>Year 2014</b>									
West African Sahel & Dry Savannas (WAS&DS)	446	2,292	575	849	675	1,647	637		7,121
North Africa & West Asia (NA&WA)	17,034								17,034
East and Southern Africa (E&SA)	496	1,266	7,026		403	1,402	389		10,981
Central Asia (CA)	2,613			569	393			726	4,301
South Asia (SA)	3,603	3,617	1,834	382	417		379		10,232
<b>Total</b>	<b>24,192</b>	<b>7,174</b>	<b>9,435</b>	<b>1,800</b>	<b>1,888</b>	<b>3,049</b>	<b>1,405</b>	<b>726</b>	<b>49,669</b>
<b>Year 2015</b>									
West African Sahel & Dry Savannas (WAS&DS)	818	2,867	961	1,266	1,009	2,151	1,029	-	10,101
North Africa & West Asia (NA&WA)	19,231	-	-	-	-	-	-	-	19,231
East and Southern Africa (E&SA)	873	1,728	8,122	-	707	1,879	754	-	14,063
Central Asia (CA)	3,224	-	-	954	695	-	-	1,382	6,255
South Asia (SA)	4,322	4,338	2,359	747	722	-	744	-	13,231
<b>Total</b>	<b>28,468</b>	<b>8,932</b>	<b>11,442</b>	<b>2,966</b>	<b>3,133</b>	<b>4,030</b>	<b>2,528</b>	<b>1,382</b>	<b>62,881</b>
<b>Grand Total</b>	<b>86,778</b>	<b>29,488</b>	<b>29,578</b>	<b>5,743</b>	<b>6,758</b>	<b>11,334</b>	<b>5,662</b>	<b>3,266</b>	<b>178,607</b>

The budget is provisionally allocated across the eight participating centers as follows: 42.02% ICARDA, 29.68% ICRISAT, 9.63% ILRI, 3.09% CIP, 5.68% IWMI, 2.34% ICRAF, 4.77% Bioversity and 2.79% CIAT.

With a budget of US \$178.6 million for the first 3 years, CRP-DS is the 10<sup>th</sup> CRP in terms of funding. Funding from the CGIAR Fund (Windows 1 & 2) represents 39% of the total budget (i.e. US \$70.3 million) while 61% of the proposed budget is to be funded from Windows 3 and Bilateral Restricted grants.

**Table-5: Funding Source Summary, inception and implementation phase**

Funding Source	Inception (2012)	2013	2014	2015	Total
W1&2	9,103	11,785	20,342	29,103	70,333
W3	2,674	7,142	3,474	5,786	19,076
Bilateral	18,960	16,393	25,853	27,992	89,198
<b>Total</b>	<b>30,737</b>	<b>35,320</b>	<b>49,669</b>	<b>62,881</b>	<b>178,607</b>

<sup>7</sup> <http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/10thCouncil/CRP%20Extension%20and%20Synchronization%20-%20Oct%2018,%202013.pdf>

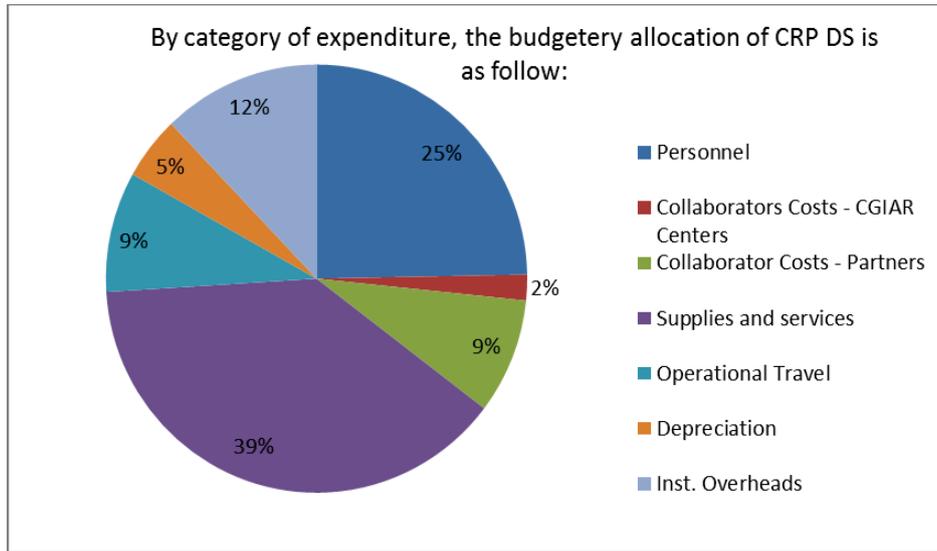


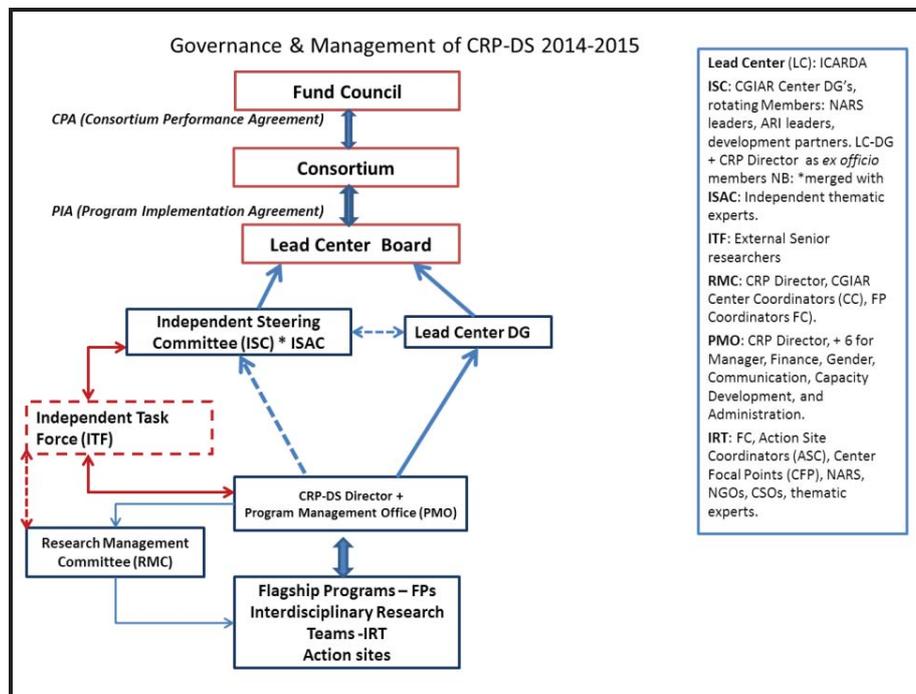
Figure-2: Budget allocation for CRP-DS (2014) by category of expenditure

## 1.4 CRP organizational set up

The CRP-DS Governance and Management (G&M) structure defined in its initial stage included:

- A field/regiona level composed by action sites, interndisciplinary research teams and flagship coordinators.
- A Research Program Management structure composed by the Research Management Committee (RMC), the CRP Director and the Program Management Office (PMO).
- A steering structure composed by the Steering Committee (SC) and the Independent Science Advisory Committee (ISAC)
- An oversight structure composed by the Lead Center Board, the CO and the FC.

In 2014 the Independent Evaluation Arrangement (IEA)<sup>8</sup> conducted a review of the CRPs G&M structures and the CO together with the ISPC advised the CRP-DS to merge the SC and ISAC into an Independent Steering Committee (ISC). In addition the CO and ISPC advised the program to commission one Independent Task Force (ITF) as explained in the section “Parallel CGIAR Processes”.



**Figure-3: CRP-DS Governance and Management Structure (adopted in September 2014)**

<sup>8</sup> In the CGIAR, the Independent Evaluation Arrangement (IEA) Office is responsible for System-level external evaluations. The main mandate of the IEA is to lead the implementation of the CGIAR Policy ([http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR\\_evaluation\\_policy\\_jan2012.pdf](http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR_evaluation_policy_jan2012.pdf)) for Independent External Evaluations, through the conduct of strategic evaluations of the CGIAR CRPs and institutional elements of the CGIAR and through the development of a coordinated, harmonized and cost-effective evaluation system in the CGIAR. The IEA’s first four-year Rolling Evaluation Work Plan 2014-17, approved in November 2013 by the FC, foresees an evaluation of up to 10 CRPs over 2013-2015. For the remaining five CRPs, that would not undergo a full CRP evaluation, the IEA committed to providing a framework and methodological support to the CRPs to conduct self-assessments on progress and to verify the continued validity of the CRP planned impact pathways. On this basis, it was decided that these five CRPs should each commission and fund a CCEE, with the CCEE report being available before the Second Call for CRP proposals, i.e. that they should be completed in mid-2015. CRP-DS is one of those five.

## 2. Evaluation

### 2.1 Context of the CCEE

Each CRP envisages the investment of tens of millions of US dollars per year<sup>9</sup> to achieve defined development outcomes. During the review process, ISPC made comments on all the original CRP proposals and in some cases issued ‘must have’ requirements for proposal improvement, some of which were only partially addressed at the time. These included a few CRPs that were accepted by Consortium Board/Fund Council under certain conditions, with an understanding that these conditions were to be met by CRP during specified time periods. For those CRPs, they may now have to ensure that the ‘must haves’ and conditions have been fully taken into account before making new funding proposals.

The Phase 2 approval processes are likely to be a lot more stringent than those for Phase 1. The CO and the FC have set new expectations since 2011 and additional guidance has been provided to the CRPs on how to meet these expectations, in particular in the SRF Management update, in the three ISPC White Papers, in the Guidance for the Second Call (draft 2, 2013) and the CRP 2015-16 Extension Proposal Process and Guidance.

As part of the CRP approval process, successive versions of the CRP proposals were reviewed first by the ISPC and then by the CO and the FC. The principal domains analyzed by ISPC in its commentary to the revised CRP-DS proposal (28 February 2013)<sup>10</sup> will be considered in the evaluation process. Those are required to be met before the submission of the phase 2 proposal.

Since 2011, the CGIAR Funders Forum has requested further work on results based management and results based budgeting<sup>11</sup>. During 2013, CRPs worked to improve their statements of IDOs, supported by a CRP IDO Working Group and Design Team<sup>12</sup>.

There is now a move within the FC to make donor investments in CRPs relate to development outcomes achieved, so-called ‘payment for results’.

### 2.2 Purpose of the CCEE

The IEA’s Terms of Reference (TOR) for the CCEE proposed a preliminary statement for the purpose and objectives. After initial interviews and document review, these remain valid as follow:

Purpose:

1. Enhance the contribution that CRP-DS is likely to make to reaching CGIAR goals and to solving evolving global, regional aims to identify and develop resilient, diversified and more productive combinations of crop, livestock, rangeland, aquatic and agroforestry systems that increase productivity, reduce hunger and malnutrition, and improve quality of life for the rural poor.
2. Provide useful evaluative information to CRP stakeholders to inform the development of their full proposals for the new CRP funding cycle (Second Call for CRP proposals).

---

<sup>9</sup> Three-year budgets for the five CRPs under CCEE vary from US\$84 million to US\$191 million per annum (IEA Revision to Rolling Evaluation Workplan and Budget (2014:2017))

<sup>10</sup> [http://www.sciencecouncil.cgiar.org/fileadmin/templates/ispc/Expert\\_advice/Advice\\_to\\_the\\_FC\\_CRPs\\_ISPC\\_Commentary\\_on\\_revised\\_CRP1\\_1\\_Drylands\\_Feb\\_28\\_2013\\_2.pdf](http://www.sciencecouncil.cgiar.org/fileadmin/templates/ispc/Expert_advice/Advice_to_the_FC_CRPs_ISPC_Commentary_on_revised_CRP1_1_Drylands_Feb_28_2013_2.pdf)

<sup>11</sup> The February 2014 Guidance Workshop on SRF Management Update and Guidance for the 2<sup>nd</sup> Call concluded that ‘results-based budgeting is a must’ (summary report p14)

3. Inform the CRP appraisal process by the ISPC, CGIAR Fund Council and Consortium Office with respect to the adequacy of structures and systems put in place and the likelihood of achieving results.
4. This evaluation is forward-looking and informative, and will seek to provide lessons learnt and recommendations for the future.

In addition it will inform management and relevant CRP staff of the performance of the program component evaluated for learning and adjustment and to feed into immediate decisions by senior managers such as:

- a. what adjustments need to be made to research lines, management and partnerships.
- b. whether to modify the skill and disciplinary mix of researchers.
- c. whether to continue, increase or decrease funding to particular themes or research components.

The objectives of the CRP-DS evaluation are:

1. Verify the continued relevance and validity of the CRP and of the planned impact pathways.
2. Assess progress towards achievements on the major research areas of the CRP since their date of approval.
3. Assess the adequacy of systems in place for good organizational performance (governance, partnership, management, planning, monitoring and evaluation, and accountability).

## 2.3 Stakeholders

The CCEE will be of interest to a variety of stakeholders (internal and external). A suggested matrix is presented below.

**Table-6: CCEE stakeholders**

<i>Stakeholder</i>	<i>Role in the CCEE</i>	<i>Interest in the CCEE</i>
<b>Internal Stakeholders</b>		
CRP Director and management	Commission CCEE and manage CRP-DS	<ol style="list-style-type: none"> <li>1. Accountability for performance</li> <li>2. Learning for improvement of the CRP</li> <li>3. Increasing the likelihood of future financial support</li> </ol>
CRP Governance	Informants (selected) Advise and ensure CCEE results are followed up on	<ol style="list-style-type: none"> <li>1. Accountability for its governance role</li> <li>2. Learning for improvement of its governance role</li> <li>3. Learning for improvement of the CRP</li> </ol>
CRP Researchers	Informants (selected)	<ol style="list-style-type: none"> <li>1. Having a voice</li> <li>2. Improving their participation</li> <li>3. Improving CRP quality</li> </ol>
Lead center board and management	Informants Chair the CCEE reference group, where appropriate	<ol style="list-style-type: none"> <li>1. Accountability for its hosting, fiduciary responsibility and research contribution.</li> <li>2. Improving its lead role in the CRP</li> </ol>
CGIAR Fund Council	Primary client but no direct participation	<ol style="list-style-type: none"> <li>1. Accountability for its role</li> <li>2. Prioritization of future CRPs</li> <li>3. Learning how CRPs can be made more effective</li> </ol>
CGIAR Consortium Office	Primary client but no direct participation	<ol style="list-style-type: none"> <li>1. Accountability for its role</li> <li>2. Prioritization of future CRPs</li> <li>3. Learning how CRPs can be made more</li> </ol>

<sup>12</sup> As reported in 'Developing Intermediate Development Outcomes for CRPs', P Dugan and L Solórzano, April 2013

		effective
Board and management of participating centers	Participate in the CCEE reference group (selected)	1. Accountability for their contribution
<b><i>External Stakeholders</i></b>		
Donors	Informants (selected)	1. Decision making for resource allocation 2. Learning for improved donor performance within the CGIAR
Research partners	Informants (selected)	1. To be given a voice 2. Accountability for contribution
Development partners	Informants (selected)	1. To be given a voice 2. Accountability for contribution 3. To increase CRP development impact
Beneficiaries e.g. farmers and policy makers	Informants in country missions	1. To be given a voice 2. To make CRP research more relevant
IEA	Support and quality assurance	1. Ensuring accountability of the CRPs 2. Learning from individual CRP 3. Synthesizing learning across CRPs

A matrix (sample above), defining more specifically CCEE stakeholders and their respective interests in the CCEE will be developed during the inception phase of the evaluation. Because of the formative nature of the CCEE, carried out relatively early in the program, a continuous dialogue throughout the process will be important with all those involved in the implementation of CRP-DS, including management, staff and associated partner organizations. In particular, CRP-DS stakeholders will provide inputs for prioritizing the scope and questions of the evaluation in the TOR and define the evaluation matrix during the Inception Phase.

## 2.4 Evaluation coverage (scope)

The evaluation will cover all research activities of CRP-DS and related processes. The CCEE implementation period is from December 2014 to June 2015, but also includes planning activities before December 2014. The program has been running since May 2013 but contains major research activities of all eight CRP-DS partner organizations, which have been initiated before the launch of CRP-DS. Since it is likely that these research activities constitute a significant part of CRP-DS (to be mapped during the evaluation inception phase), they will need to form part of what is to be studied and are those most likely to be moving towards achievement of outcomes. Organizational performance, which will cover areas such as program structure, governance and management arrangements, as well as partnerships, will be studied from the beginning of the CRP-DS, i.e. May 2013.

## 2.5 Evaluation criteria and specific questions

The main criteria to be used in this evaluation are the standard IEA evaluatio criteria:

- Relevance
- Efficiency
- Effectiveness
- Impact, (i.e. the likelihood of achieving impact)
- Sustainability

➤ Quality of science

In addition to the evaluation criteria a set of questions to be addressed by the evaluation of the CRP-DS is presented in Annex 1 including cross-cutting themes (gender, capacity development and partnership). These questions have been formulated primarily on the basis of the “generic” key questions under each criterion, and a review of the CGIAR SRF and CRP-DS Proposal, Draft CRP level IDOs, available annual reports and other relevant documents. The evaluation matrix will be elaborated and questions prioritized in discussion with stakeholders and finalized including elaboration of indicators by the CCEE team, as part of the inception report.

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

### **2.5.1 Research performance**

Because of the relatively early timing of this evaluation in the CRP-DS cycle, actual effectiveness and sustainability will be considered for those areas of ongoing research which began before the CRP and which have generated or have had time in which to generate outcomes. Perception studies may also be undertaken by the evaluation team. Using a case study approach the evaluation will look critically at the extent to which systematic thought has been given to and plausibility of selected impact pathways, including assessment of CRP-DS research specific assumptions as well as external assumptions crucial for planned outcome. The extent to which impact pathways have been internalized and assumptions and risks reduced, including through partnership approaches and active communication strategies will be examined. Particular attention will be given to the extent to which the specifics of how policy impact is to be secured have been thought through from the global to the local levels.

Relevance of the emphases of CRP-DS in view of the comparative advantages of the CGIAR, including global mandate and strengths of the CGIAR system, limited national capacities in system research and limited areas of R&D interest of the commercial sector.

### **2.5.2 Organizational effectiveness**

Below dimensions should be addressed during the evaluation:

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

## 2.6 Roles and responsibilities

The CCEE will be conducted by a team of independent external experts. The Evaluation Team Leader has final responsibility for the CCEE report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards. Together with his/her team he/she will be responsible for planning, designing, initiating, and conducting the evaluation. The IEA will support the quality control of the CCEE process and outputs, and dissemination of the results. The CRP-DS PMO will take an active role in the preparatory phase of the CCEE by collecting and providing background data and information.

The PMO CCEE Manager will provide support to the team throughout the evaluation. An Oversight Committee (OC) will be set-up to work with the CCEE Manager and the CCEE Team to ensure good communication with, learning by, and appropriate accountability to primary evaluation clients and key stakeholders, while preserving the independence of CCEE team. The OC can be thought of as a ‘sounding board’, giving views and inputs at key decision stages in the evaluation design and implementation process. The OC may also play an important role in leading team members to key people and documents, and representing the views of other stakeholders: not only to the team members but to each other. It will be composed of CRP-DS stakeholders. The OC will meet regularly to review and debate draft documents and to provide comments at key stages of the CCEE, in particular on the evaluation questions, the TOR, the inception report, and any major case study reports as well as the draft final report. The OC will be composed by 14 members, who will elect their chair, as follow:

- 6 Management members: Richard Thomas (DS), Jan de Leeuw (ICRAF), Polly Ericksen (ILRI) and Anthony Whitbread (ICRISAT), Margret Thalwitz (Lead Center Board Chair), Swappan Datta (CRP-DS Steering Committee Member);
- 2 Research members: Maarten van Ginkel (ICARDA); Fergus Sinclair (ICRAF);
- 1 Development member: Karim Sma (IFAD);
- 2 Subject specialists: Paul Vlek (former ISAC member), Lindsay Stringer (Director of the Sustainability Research Institute – Leeds, UK);
- 2 Beneficiaries members: Aboubakar Njoya (R&D representative, SSA and ISAC Member);
- 1 Member appointed by IEA (Urs Zollinger, Managing Partner King Zollinger & Co. Advisory Services).

**Table-7: CCEE roles and responsibilities**

Role	Who	Responsibilities
Evaluation management	PMO and CCEE manager	Plan and manage the design of the evaluation, prepare terms of reference, develop and manage the evaluation reference group, contract and pay the evaluators, brief evaluators and provide them with logistical support, compile documentation and data, including pre-analysis, put evaluators in contact with key people, troubleshoot emerging problems and conflicts, give feed-back to the draft evaluation report and provide quality assurance, manage feedback processes including communication events. Assure the quality of the evaluation process and evaluation outputs. Feed-back on final draft report and management response to final report; track responses to evaluation recommendations. Principal point of liaison with the Evaluation Team.
CCEE oversight	OC with representation from management,	Provide Oversight for (i) the design of the evaluation and development of ToR; (ii) contracting of evaluators; (iii) observance of transparent and independent evaluation process, protecting the independence of the evaluation; (iii) feed-back on final draft report. Will not have authority to

	governance and stakeholders	modify evaluation findings or recommendations
Evaluation team	Independent team of evaluators	Working as a team to plan and conduct the evaluation, gathering and analyzing data, information and perceptions, and contributing to written reports and presentations of findings, under the direction of the team leader.
Evaluation team leader	Independent expert, with appropriate skills for the CCEE and good team leader qualities.	Further develop the evaluation design as lead author of the inception report. Lead the evaluation team, the evaluation and the production of reports. Normally lead author on the evaluation report and main presenter of findings and conclusions. Principal point of liaison with the CCEE manager and PMO.
CRP management	CRP Director and PMO	Normally member of oversight body. Will brief CRP staff and partners about the evaluation, coordinate accumulation and preparation of CRP data and information during the entire evaluation process, help connecting with stakeholders, allocate adequate time and resources for staff to engage with evaluators and provide information, support in logistics Develop a management response to the evaluation, including follow-up actions, help communicate findings and lessons, and act on accepted recommendations.
CRP staff	Team leaders and lead researchers in particular	Collaborate with evaluators in providing information.
Response to and follow-up of the evaluation	CRP Director and CRP governing bodies	Review management response and decide on actions to be taken based on the evaluation and management response Monitor implementation

## 2.7 Quality assurance

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

- PMO will conduct quality control throughout the evaluation process. The PMO CCEE Manager will work closely with the CCEE team throughout the evaluation and will ensure that the conduct of the evaluation, validation, and its approaches, methods and deliverables are in line with the Evaluation policy and Standards<sup>13</sup>.
- IEA will provide feed-back at different milestones, including terms of reference, team recruitment, inception report and evaluation report. A Quality Assurance Panel, to be developed by IEA, will independently provide a quality statement on the evaluation at its completion.
- CCEE findings and conclusions are to consider actual resources available to Dryland Systems and state what recommendations are resource-neutral and what recommendations imply a greater/smaller budget.

<sup>13</sup> [http://iea.cgiar.org/sites/default/files/CGIAR%20Evaluation%20Standards\\_Revised%20October%202013.pdf](http://iea.cgiar.org/sites/default/files/CGIAR%20Evaluation%20Standards_Revised%20October%202013.pdf)

## 2.8 Evaluation process

### 2.8.1 Approach and methodology

The evaluation intends to be forward-looking and informative, and will seek to provide lessons learnt and recommendations for the future, consistent with recent strategic directions adopted by the CGIAR, in view of conclusions drawn by the evaluators relative to the relevance, efficiency, effectiveness, sustainability, and quality of science of the CGIAR CRP-DS Partners' past and current work related to the Program. Lessons learnt will emerge from the analysis of the program achieved outcomes in terms of behavioral change and farmers adoption in addition to the current outputs contributing to planned sustainable results.

The evaluation process will be attentive to developing findings, conclusions and recommendations based on evidence and broad consultation among stakeholders, in a way to capture the widest possible range of viewpoints. The evaluation will use the approved CGIAR SRF and its vision and objectives as the main reference point for assessing the CRP-DS..

### 2.8.2 Preparatory phase

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

The PMO will also carry out the following tasks:

- Compile an inventory of research projects associated with each of the CRP-DS components;
- Collect preliminary information;
- Develop a CRP-DS stakeholder matrix;
- Conduct preliminary missions to centers to collect data and prepare evaluation team work if necessary;
- Finalize the terms of reference;
- Identify existing evaluation reports of CRP-DS related projects;
- Set up an OC for the evaluation; and
- Select the evaluation team leader and in consultation with her/him, the evaluation team<sup>14</sup>.

### 2.8.3 Inception phase

The CCEE scope, focus, and evaluation tools will be refined during an inception phase, which will include:

- Desk reviews and synthesis of monitoring information: The evaluation will prepare as deliverables systematic desk reviews of (i) information derived from the CRP-DS monitoring and evaluation system especially concerning the delivery of research outputs (relevance, quality, timeliness) and communication and dissemination, (ii) management and process strategy documents, manuals and protocols, (iii) administrative reports and databases for human and financial resources;
- Stock-taking on current global trends and Dryland Systems related issues presented in the inception report;

<sup>14</sup> Evaluation team leader and team members will be requested to sign the IEA form for Declaration of Interest and Code of Conduct (annex 4). Selection panel will be composed by Richard Thomas (DS Director); Maarten van Ginkel (ICARDA representing Lead Center), Anthony Whitbread (ICRISAT representing CG Partners), Team Leader, and John Lynam (ISAC). One member appointed by IEA will be included in the Selection panel for the team leader.

- Baseline of communication and dissemination activities of CRP-DS subject matter by the concerned CGIAR Centers (pre and during CRP-DS), including peer and non-peer reviewed science journals, national and international press, meetings and symposia;
- Development of analytical framework for assessing CRP-DS research, including the impact pathways analysis;
- Refinement of evaluation questions and finalization of the evaluation matrix;
- Detail of evaluation methods, including data sources, data collection methods, data analysis methods;
- Identification of specific initiatives or instruments calling for specific case study;
- Selection of sample sites to visit, including rationale for sample selection;
- Detailed specification of evaluation timetable, deliverables including an indicative evaluation report outline and responsibilities.

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

#### **2.8.4 Conduct of CCEE**

The evaluation will build on the outputs of the inception phase and proceed with the inquiry, by acquiring more information and data from documents and relevant stakeholders, to deepen the analysis. Methods may include:

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

#### **2.8.5 Drafting of report**

The evaluation team, under the leadership of the team leader, is responsible for drafting the evaluation report. Towards the end of the data collection phase a team meeting will take place involving the CCEE Manager, to discuss preliminary findings. The working language is English.

## 2.8.6 Evaluation communication and feedback

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

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

The final report will be presented to key CGIAR stakeholders. Following this, the PMO will interact with CRP-DS Partners during the preparation of the management response. A dissemination event will be organized on the final report and the CRP-DS Management Response.

## 2.8.7 Management response and follow-up

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

## 2.9 Deliverables (preliminary listing)

- The **inception report**: The purpose of the inception report is to principally serve as a guide and reference document for conducting the evaluation. It builds on the original terms of reference for the evaluation and on one desk review. The inception report will: (i) Outline the scope of the evaluation; (ii) Provide a detailed evaluation matrix; (iii) Clarify the analytical frameworks which will be utilized by the evaluation; (iv) Develop the methodological tools and (v) Provide a detailed workplan for the evaluation; (vi) Provide an indicative evaluation report outline;
- The **evaluation report** will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the TOR and further elaborated in the inception report. It will include an executive summary, an introduction to the evaluation, the methodology used, background, findings, conclusions and recommendations. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they should be limited in number (10-15 max), evidence-based, relevant, directly following from the evaluation findings and conclusions, focused, clearly formulated and actionable and (if possible) indicate timeframe and budget;
- **Presentations** will be prepared by the Team Leader for disseminating the report to a targeted audience. The exact forms of these presentations will be agreed during the inception phase.

## 2.10 Evaluation team composition<sup>15</sup>

The evaluation team leader will have solid experience in leading complex evaluations and will be supported by a team of experts who will between them have extensive and proven experience at international level, working for international and development agencies, on issues, programs and policies related to systems research and in areas of research of CRP-DS.

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<sup>15</sup> Team Leader and Team Members ToR are presented in annex 2.

They will have an excellent understanding and knowledge of the international debate on dryland systems research and related issues. They will also have demonstrated knowledge of the main global institutions involved in drylands. The team - which to the extent possible should be gender-balanced - is likely to include in addition to the team leader, 3-4 experts who can adequately cover between them in an integrated policy context:

- Sociological and gender issues;
- Capacity building issues;
- Macro and micro-economic issues;
- Institutional and policy analysis in the context of development;
- Research planning, methods and management;
- Research institution, research program and partnership governance, organization and management;
- Communication and partnership for policy change and implementation.

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

## 2.11 Evaluation timetable

**Table-8: Evaluation Timetable and Tentative Deliverables – June 2014/August 2015 (15 months)**

Phase	Period	Main output	Responsibility
Review of key documents; preliminary mapping of CRP-DS work; definition of scope and issues	June-August 2014	Identification of CCEE manager; Key stakeholders to be interviewed; Relevant documents prepared, Selection panel identified; Oversight committee established; and Draft ToRs	PMO
Preparatory work	September 2014-January 2015	Preliminary collection of information; Final ToRs; advertisement of TOR; selection of Team Leader; selection of Team Members (in consultation with the Team Leader)	PMO
Phase 1: Inception phase	February-March 2015	Work flow established; Team meeting; Documents distributed to prepare inception report including desk studies; inception report completed.	CCEE Team, CRP-DS Director, CCEE Manager
Phase 2: Collection and analysis of information	April-June 2015	Conduct of interviews; Surveys; Country visits; Desk reviews; Various reports as defined in the inception report produced	CCEE Team Leader in close collaboration with CCEE manager. Team members to do desk reviews
Phase 3: Report drafting and final consultation with stakeholders	June-July 2015	Draft evaluation report submitted; Response from PMO; Amendments included; Final evaluation report submitted;	CCEE Team Leader and team; PMO.
Phase 4: Management response; Dissemination event and Action Plan	August -September 2015	Management Response finalized; Workshop completed; action plan prepared.	Team Leader and PMO

## 2.12 Parallel CGIAR processes:

There are a number of CGIAR processes taking place before, during and after the CCEE that will inform the CRP CCEE, or be informed by it. Below an initial list (June 2014):

- **CRP-DS Independent Task Force (ITF)<sup>16</sup>**. The Program have announced the Expression of Interest for a group of 8-12 drylands expert with the objectives of: a) Identify mission critical areas of research that need to be supported in the short-term; b) Analyze the current Plan of Work and Budget (POWB) for 2015 and 2016; c) Develop and design a strategy and operating plan that will position DS to play a leading role in the evolution of the next round of CRPs; d) Prepare proposals for the 2nd Call of CRPs to ensure that drylands research is prominently and effectively represented at various stages in the process of identifying a new portfolio of CRPs. The CCEE Team and the ITF will be two parallel and collaborating process during 2015. While the CCEE Team will identify the adjustments to be made, the proper mix of researchers and suggest the funding allocation for each themes as mentioned in the objectives relying on the ITF expertise, the ITF will support the program to promptly

<sup>16</sup> <http://drylandsystems.cgiar.org/content/open-call-expressions-interest-drylands-independent-taskforce>

implement the suggested changes. With this two process in place it is expected that the overall adjustments will be completed by middle of 2016 in order to have a structure ready for the second call.

- **Other CCEE.** The CCEE will be informed by any Center-Commissioned External Evaluations completed before or during its course. The PMO office will provide the CCEE team all documents and contact for past and current evaluations related to Centers and/or bilateral projects mapped into CRP-DS. ICARDA had its last External Programme and Management Review (EPMR) in July 2006.
- **IEA evaluations.** The IEA Review of CRP G&M (2014) can be taken as a starting point for the governance and management element of the CCEE. The IEA is also conducting evaluations of the other ten CRPs during 2014-16<sup>17</sup>. CRP-specific IEA evaluations do not bear directly on the CCEE but learning from their commissioning and conduct could be instructive for the CCEE.
- **SRF.** The April 2014 Management Update of the SRF will be used as the backdrop to the CCEE. The SRF is only due to be finalized at the end of 2014, once the Mid Term Review is complete.
- **Partnership Review.** The ISPC was due to undertake a review of CRP partnerships in 2014. Given the importance of partnership in the CRPs, and the lack of CGIAR guidance on the subject, this is potentially very important. However, the TOR has yet to be prepared and it is not clear whether the results of the review will be available before the CCEE complete.
- **CRP Extension.** Proposals (EPs) for CRP extensions for the period 2015-16 were submitted by all CRPs in April and have been commented on by the ISPC in July 2014. For the CCEE, these short documents will form a supplement to the original CRP proposals, summarizing any new developments and thinking within the CRP.

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<sup>17</sup> Of these, FTA is almost complete and the selection of evaluation consultants is underway for Maize, Wheat, and PIM.

## Annex 1 Key questions for evaluation criteria

#	Criterion	Relevant documents
<b>1</b>	<b>Relevance</b>	
<b>a</b>	<b>Coherence</b>	
1	Is the CRP strategically coherent and consistent with the main goals and System Level Outcomes presented in the CGIAR's Strategy and Results Framework?	Proposal, CGIAR SRF (doc n.54)
2	Is there a rationale for, and coherence between, CRP Flagship Projects?	Proposal (SRTs), EP (ALSs)
3	Does the CRP use core-type funding (Windows 1 and 2) for leveraging bilateral funding and alignment of bilateral projects within program strategy?	AR, POWB2014, EP, + Doc n.29
<b>b</b>	<b>Comparative advantage</b>	
1	What is the comparative advantage of the CRP in terms of the CGIAR's mandate of delivering international public goods; other international initiatives and research efforts, including the private sector; and partner country research institutions or development agencies?	Proposal. ISPC/CO EP review (doc n.49), Task Force ToRs, CGIAR, Research Portfolio Review 2013 (doc n.54-56)
2	In the different areas of research (Flagship Projects, Clusters of Activity) does the CRP play an appropriate role as global leader, facilitator or user of research compared to partners and other research suppliers?	Proposal, AR, S&IM
<b>c</b>	<b>Program design</b>	
1	Does the program target an appropriate set of Intermediate Development Outcomes (IDOs) and do the activities (in the CRP Clusters of Activities) cover all relevant areas for achievement of program objectives?	EP, S&IM
2	Do the impact pathways logically link the principal clusters of activities to the IDOs and are the IDO linked to the SLOs through plausible theories that take into account trade-offs between multiple objectives? Have constraints to outcomes and impacts been considered in the program design, for example through assessment of the assumptions and risks in reliance on policies, actions of national institutions, capacity and partnerships?	Proposal, EP, S&IM, Risk doc
3	Have the CRP research activities been adequately prioritized in line with resource availability and partner needs?	Proposal, EP
<b>2</b>	<b>Efficiency</b>	
<b>a</b>	Are the CRP institutional arrangements and management and governance mechanisms efficient and effective?	All PPA, PIA, organization charts, ToRs, Procedures
<b>b</b>	To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency and successful program implementation?	Interviews with key staff.
<b>c</b>	Is the level of collaboration and coordination with other CRPs appropriate and efficient for reaching maximum synergies and enhancing partner capacity?	See point 2a, SWOT Analysis and partnership report.
<b>d</b>	Are the facilities and services used efficiently and are there areas where efficiency could be improved, for instance through outsourcing?	SWOT analysis.

	e	Is the monitoring and evaluation system efficient for recording and enhancing CRP processes, progress, and achievements?	M&E plan and Manual
<b>3</b>	<b>Quality of science</b>		
	a	Do the research design, problem setting and choice of approaches reflect high quality in scientific thinking, state-of-the-art knowledge and novelty in all areas of research?	Proposal, EP
	b	Is it evident that the program builds on the latest scientific thinking and research results?	Proposal, EP
	c	Are the internal processes and conditions, including research staff and leadership quality, adequate for assuring science quality?	See docs n. 33 and 34
	d	Are the research outputs of high quality?	AR (table 1)
<b>4</b>	<b>Effectiveness, Impact and Sustainability</b>		
	a	To what extent have planned outputs and outcomes been achieved or are likely to be achieved?	AR
	b	Have there been sufficient efforts to document outcomes and impact from past research with reasonable coverage over research areas?	S&IM and AR
	c	What can be concluded from the findings of ex post studies, for instance in terms of magnitude of impact in different geographical regions relevant for the CRP and equity of benefits?	AR
	d	Have adequate constraint analyses and lessons from ex post studies informed program design for enhancing the likelihood of impact?	S&IM
	e	To what extent have benefits from past research likely been sustained?	AR
	f	To what extent are positive outcomes demonstrated at pilot or small-scale level likely to be sustained and out-scalable?	AR, EP
	g	What are the prospects for sustaining financing, for example, for long-term research programs and key partnerships?	See docs n.28 and n.30 + record on increased funds in the last 3 years
<b>5</b>	<b>Gender</b> (cross-cutting issue):		
	<b>a</b>	<b>Relevance:</b>	
	1	Have gender been adequately considered in research design in terms of relevance to and effect on women?	POWB, AR, Gender Strategy, Gender workshop report, S&IM
	<b>b</b>	<b>Effectiveness and impact:</b>	
	1	Has gender been adequately considered in the impact pathway analysis, in terms of the differential roles of women and men along the impact pathway, generating equitable benefits for both women and men and enhancing the overall likelihood enhancing the livelihoods of women?	POWB, AR, Gender Strategy, Gender workshop report, S&IM
<b>6</b>	<b>Capacity building</b> (cross-cutting issue):		
	<b>a</b>	<b>Relevance:</b>	
	1	To what extent do capacity building efforts address partners' needs?	CRP-DS CD Strategy, AR, EP, Needs assessment survey responses
	2	Does capacity building target women as well as men adequately and their differential needs taken into account?	AR, CD Strategy, CD Implementation



			Guidelines
	<b>b</b>	<b>Effectiveness and sustainability:</b>	
	<b>1</b>	To what extent are capacity issues taken into account in the impact pathway analysis?	Proposal, EP
	<b>2</b>	Are capacity building efforts integrated with the research mandate and delivery of the CRP?	Proposal, POWB, AR, EP, CD Strategy
	<b>3</b>	Are the capacity building efforts and incentives among partners adequate for enhancing the long-term sustainability of program effects?	SWOT analysis, Impact Assessment Survey
<b>7</b>	<b>Partnership</b> (The evaluation will consider the partnerships among the implementing centers, linkages with other CRPs and partnerships with both research and development partners as well as boundary partners upon whom the development outcomes depend.)		
	<b>a</b>	<b>Relevance:</b>	
	<b>1</b>	To what extent are the partnerships relevant and cover the relevant partner groups to achieve program objectives?	Proposal, EP
	<b>b</b>	<b>Efficiency and effectiveness:</b>	
	<b>1</b>	Are the partnerships chosen and managed so as to maximize efficiency for results?	Partnership report

## Annex 2 Evaluation team ToR

Position	Qualification
Team Leader	An Evaluation Specialist (minimum 20 years of experience) with knowledge of agricultural research, ideally in the drylands. The working language will be English.
Team Member – Research Manager	A Senior Research Manager with experience in conducting studies/research work at international level in the drylands.
Team Member Mid-level consultant	PhD in Agricultural Sciences/ Agricultural Economics/Rural Development and having 10 years of experience in conducting studies/research work in the areas of agriculture development projects. The experience in integrated research program is an asset.
Team Member Junior Consultant/Research or data analyst	MSc in Agricultural Sciences/ Agricultural Economics/Rural Development with 3-4 years of experience in organizing stakeholders' consultations, supervising field data collection, data analysis and generating reports. Proficiency with MS Office package/ SPSS/ STATA/ SAS and some field survey experience would be useful.

### TEAM LEADER

The Team Leader will be responsible for the overall assessment of the research program and the socioeconomic component of the Evaluation. The work will take place in several steps, with distinct deliverables to be produced at the end of each phase. The details for each phase and the exact schedule will be finalized depending on the outcomes of the Inception Report. The assignment includes travel to the lead-center of CRP-DS, ICARDA, in Jordan and to other research sites.

#### **Phase 1 (January – February 2014): Inception Phase - 15 days**

In collaboration with the Evaluation Manager, the Team Leader will prepare the Inception Report. During the Inception phase, the Team Leader will:

- a. Participate, with the Selection Panel, in the selection of team members;
- b. Design the conceptual and analytical frameworks for assessing CRP-DS activities;
- c. Refine and finalize the evaluation questions and the evaluation matrix;
- d. Further develop the evaluation approach, methods and tools (e.g.: country/research site visits, standard format for the assessment of research products and projects; questionnaire surveys; etc...);
- e. Develop a detailed workplan for the Evaluation;
- f. Establish the allocation of work amongst the different team members;
- g. Draft and finalize the Inception Report using an outline agreed with the Evaluation Manager;
- h. Present the Inception Report to the Oversight committee

#### **Phase 2 (February-April 2015) Collection and analysis of information – 45 days**

- a. Lead and support the work of all team members involved in the Evaluation;
- b. Review and analyze relevant materials particularly regarding the Program's overall direction and design, and related to socioeconomic components of the Evaluation;
- c. Conduct interviews with CGIAR and non-CGIAR stakeholders and in a sample of countries and research sites;
- d. Take the lead on addressing evaluation questions relating to the socioeconomic components of the evaluation as detailed in the Inception report;

- e. Review all deliverables prepared by team members;
- f. Oversee comprehensive information gathering and reporting from field missions;
- g. Present preliminary findings to internal stakeholders through means to be agreed with Evaluation Manager;

**Phase 3 (May–June 2015) Report drafting and final consultation with stakeholders - 30 days**

- a. Prepare a draft of a comprehensive Evaluation Report that addresses the evaluation questions and contains an assessment based on all the available information from documents, desk reviews, surveys, interviews, in accordance with the Inception Report.
- b. Prepare a final Evaluation Report;
- c. Present the final report to CGIAR stakeholders and partners through various dissemination channels.

TEAM MEMBER

Under the direct supervision of the Team Leader and overall guidance of the Evaluation Manager, the Team Member will analyze the impact pathways of the program (including constraints) and assess the potential poverty impacts of the CRP-DS program. He will also cover other aspects of the CRP performance evaluation as agreed with the Team Leader.

The work will take place in several steps, with distinct deliverables to be produced at the end of each phase; under the overall responsibility of the Team Leader. The details for the Team Member responsibilities and the exact schedule will be finalized during the inception phase. The assignment includes travel to the lead-center of CRP-DS, ICARDA, in Amman and to other research sites (as decided during inception phase).

**Phase 1 (January-February 2014): Inception Phase - 10 days**

- a. Review the documentation provided by the PMO, as background to the evaluation and related to the program areas assigned;
- b. Participate in the evaluation team inception meeting; contribute to refining the evaluation scope, approach and methodological tools;
- c. Contribute to the Inception report;

**Phase 2 (February–April 2015): Collection and analysis of information – 30 days**

- a. Collect, review and analyze relevant materials with support provided by the PMO
- b. Support the Team Leader in designing evaluation instruments
- c. Conduct interviews with CGIAR and non CGIAR informants by phone or Skype
- d. Conduct research site visits (as decided during inception phase) and face to face interviews with program staff, partners and beneficiaries;
- e. Prepare mission reports as established in the Inception report
- f. Prepare analysis of CRP-DS contribution to poverty alleviation/rural development, as defined in the Inception Phase;
- g. Contribute to team discussions and analysis of overall CRP performance.

**Phase 3 (May–June 2015) Report drafting and final consultation with stakeholders - 10 days**

- a. Participate in formulating preliminary evaluation findings
- b. Contribute to the drafting of the Evaluation Report under the guidance of the Team Leader

## Annex 3 IEA form for declaration of interest and code of conduct

### Declaration of Interest

Involvement in the activities of the CGIAR Research Program on Dryland Systems, ICARDA, or any other key partner of the CRP during past 5 years in research, program design, management or governance or as a donor constitutes a conflict of interest for a potential evaluator of the CRP. YES NO

Please declare that you have not had such involvement. If in doubt, give details of your involvement.

1. Have you engaged in the activities of the CGIAR Research Program on Dryland Systems, ICARDA, or any other key partner of the CRP during the past 10 years ago in research, program design, management or governance?

YES NO

If yes, please provide details

2. Have you engaged in the activities of the CGIAR Research Program on Dryland Systems, ICARDA, or any other key partner of the CRP during the past 5 years through an informal non-contractual arrangement?

YES NO

If yes, please provide details

3. Has anyone in your immediate family been engaged in the activities of the CGIAR Research Program on Dryland Systems, ICARDA, or any other key partner of the CRP during past 5 years in research, program design, management or governance or as a donor. YES NO

If yes, please provide details

4. Are you involved in research, governance, advisory or other role with any CGIAR Center, CRP or other CGIAR institution? YES NO

If yes, please provide details

5. Have you applied for a position, consultancy or other role in the CGIAR Research Program on Dryland Systems, ICARDA, or any other key partner to the CRP in the past 5 years? YES NO

6. Please give details of any other activity, engagement or relationship with the CRP and its leadership

### DECLARATION

I declare that the information provided above is true and complete.

Signed at \_\_\_\_\_ on \_\_\_\_\_

Signature: \_\_\_\_\_

## Code of Conduct for Evaluation<sup>18</sup>

The conduct of evaluators in the CGIAR system should be beyond reproach at all times. Any deficiency in their professional conduct may undermine the integrity of the evaluation, and more broadly evaluation in the CGIAR, and raise doubts about the quality and validity of the overall evaluation function.

This Code of Conduct applies to all evaluation staff and consultants used in CGIAR evaluations. It is intended as guidance to all evaluations commissioned in the CGIAR, including those commissioned and organized by CGIAR Centers and CGIAR Research Programs. The provisions of this Code of Conduct apply to all stages of the evaluation process from the conception to the completion of an evaluation and the release and use of the evaluation results.

To promote trust and confidence in evaluation, all staff engaged in evaluation and evaluation consultants working for the IEA and/or other CGIAR entities and centers are required to commit themselves in writing to the Code of Conduct for Evaluation, specifically to the following obligations:

### **1. Independence**

Evaluators shall ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.

### **2. Impartiality**

Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the program, project, policy or organizational unit being evaluated.

### **3. Conflict of Interest**

Evaluators are required to disclose in writing any past experience, of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. Before undertaking evaluation work with the CGIAR, each evaluator will complete a declaration of interest form.

### **4. Honesty and Integrity**

Evaluators shall show honesty and integrity in their own behavior, negotiating honestly the evaluation costs, tasks, limitations, scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.

### **5. Competence**

Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

### **6. Accountability**

Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed, while operating in a cost effective manner.

### **7. Obligations to Participants**

Evaluators shall respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively

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<sup>18</sup> Adapted from the Code of Conduct for Evaluation in the United Nations System by the United Nations Evaluation Group

powerless are represented. Evaluators shall make themselves aware of and comply with legal codes (whether international or national) governing, for example, interviewing children and young people.

### **8. Confidentiality**

Evaluators shall respect people’s right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.

Evaluators shall respect confidentiality of information provided by the program, project or unit under evaluation if so requested and not disclose data, information, interim analyses, funding and reports without the consent of the Head, IEA.

### **9. Avoidance of Harm**

Evaluators shall act to minimize risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

### **10. Accuracy, Completeness and Reliability**

Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable.

Evaluators shall explicitly justify judgments, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.

### **11. Transparency**

Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

### **12. Omissions and wrongdoing**

Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the Head, IEA.

## **DECLARATION**

I declare that I have read, and agree to commit to the Code of Conduct as stated above

Signed at \_\_\_\_\_ on \_\_\_\_\_

Signature: \_\_\_\_\_