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## ACRONYMS

A4NH	CGIAR Research Program on Agriculture for Nutrition and Health
AVRDC	Asian Vegetable Research and Development Center
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
ECOP	CGIAR Evaluation Community of Practice
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
SSA-CP	Sub-Saharan Africa Challenge Programme
STCP	Sustainable Tree Crops Program
WA	West Africa
WLE	CGIAR Research Program on Water, Land and Ecosystems
WUR	Wageningen University and Research Center

## 1 INTRODUCTION

Research for development in 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 in 2015. The CGIAR Centers with their partners implement the CGIAR research agenda through 16 multi-partner CGIAR Research Programs (CRPs). These programs are funded through a pooled funding mechanism in the Fund<sup>2</sup> and bilateral funding to Centers.

Humidtropics, a CGIAR Research Program led by the International Institute of Tropical Agriculture (IITA) started in July 2012 and seeks to transform the lives of the rural poor in tropical Americas, Asia and Africa. It uses integrated systems research and unique partnership platforms for better impact on poverty and ecosystem integrity. Core program partners are: AVRDC, Bioversity International, CIAT, CIP, FARA, *icipe*, ICRAF, IITA, ILRI, IWMI, and WUR.

At the CGIAR Fund Council (FC) meeting in November 2013 in agreement with the CGIAR Consortium Board (CB) it was decided; "that the call for the second round of CGIAR Research Programs and full proposal development should not be initiated until after the Mid-Term Review has been completed and all current CRPs have undergone *some form of external evaluation*."

The CGIAR Independent Evaluation Arrangement (IEA) provides methodological support for five CRPs conducting a CRP-Commissioned External Evaluation (CCEE) in addition to being directly responsible for managing the external evaluation of 10 CRPs. Evaluation reports are expected to become available before the Second Call for CRP proposals to be completed early 2016. At their meeting on June 6, 2014, the five CGIAR Research Program Directors decided that they would prefer to undertake a CCEE supported by IEA that combines a self-assessment and external validation exercise, to ensure the high quality of review product comparable to the IEA commissioned External Evaluations of the other 10 CRPs.

As Lead Center of the Humidtropics CRP, IITA is contracting a CCEE with support from the IAE to assess progress in implementation of Humidtropics and to verify the plausibility that the approach, theory of change, impact pathways, partnerships, finance, governance and management arrangements will deliver the expected results that lead to impact on poverty status and ecosystem integrity.

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

<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.

## **2 PURPOSE AND OBJECTIVES OF THE CCEE**

The specific purpose and objectives of Humidtropics' CCEE are:

1. Provide useful evaluative information to Humidtropics to inform the assessment of performance leading into a full proposal for the 2<sup>nd</sup> CRP funding cycle.
2. Inform the Humidtropics' appraisal process by the Humidtropics Partners, CGIAR Consortium, ISPC, and CGIAR Fund Council in particular with respect to:
  - a. Verification of the plausibility of the Theory of Change, related Impact Pathways, and main research areas of Humidtropics on the likelihood of achieving results since its date of approval and subsequent adjustments in view of further 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 to improve systems actors' capacity to innovate, and women and youth to participate in identifying and prioritizing problems and opportunities, and to experiment with social and technical systems innovations and share knowledge that improves the sustainable intensification of dominant farming systems and supports their scaling up towards achieving IDOs and Impact.

## **3 BACKGROUND AND CONTEXT**

### **3.1 Goal**

Humidtropics is one of three "systems" CGIAR Research Programs (CRPs) developed as a result of the CGIAR reform process. Humidtropics has the goal of increasing overall agricultural productivity in a sustainable manner to positively transform the lives of the rural poor in the humid tropics.

### **3.2 Theory of Change and Impact Pathway**

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. The main entry points are poverty status and ecosystem integrity status to determine social and technical intervention pathways where changes in systems productivity, natural resources management, and institutions and markets will improve the status of these entry points.

Integrated systems research embraces the complexity of the system. Its multiple intervention pathways display trade-offs and synergies between competing use of resources and benefits based on different entry points and priorities. The program uses an overarching Impact Pathway incorporating all IDOs as basis for more detailed and quantified site specific Impact Pathways that result from priorities and entry points established for each research location<sup>3</sup>.

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<sup>3</sup> The background and context draws heavily from the approved extension proposal which supersedes the original proposal and governs implementation in 2015 and 2016. Details at: <http://bit.ly/1LC18Pt> (scroll to Humidtropics)

### 3.3 Programmatic Framework

Just after initiating work in Humidtropics the Consortium Office introduced a much more structured reform related to the development of Intermediate Development Outcomes (IDOs) as the ultimate targets for the research of CRPs. Subsequently research in Humidtropics has been completely restructured into the current programmatic framework (Figure 1) to reflect five **Flagship Projects**, aiming to deliver on four **Strategic Objectives** (SOs) with six **Intermediate Development Outcomes** (IDOs) that started in 2014.

*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.

- *IDO Income* focuses on increased and more equitable income as a result of Humidtropics system interventions, earned by smallholders in the value chain. Progress will be tracked by gender and age with a focus on improving the incomes of marginal populations.
- *IDO Nutrition* monitors the increased consumption of diversified and quality foods by the poor, especially among nutritionally vulnerable women and children. This IDO will be accomplished through research for the diversification of high quality crops and livestock leading to enhanced consumption of diverse nutritious foods by the poor.

*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.

- *IDO Productivity* focuses on the total farm-level productivity (food, feed, fibre, livestock products), through sustainable intensification and diversification. The overall aim is to optimize the returns from the farm, while respecting the natural resource integrity.
- *IDO Environment* concerns reversing land degradation trends and the adverse environmental effects of integrated systems intensification by guiding the transition to sustainable management. This IDO focuses on the ability of the land to remain productive for present and future generations through the conservation and management of biodiversity, soil fertility and ecosystem services.

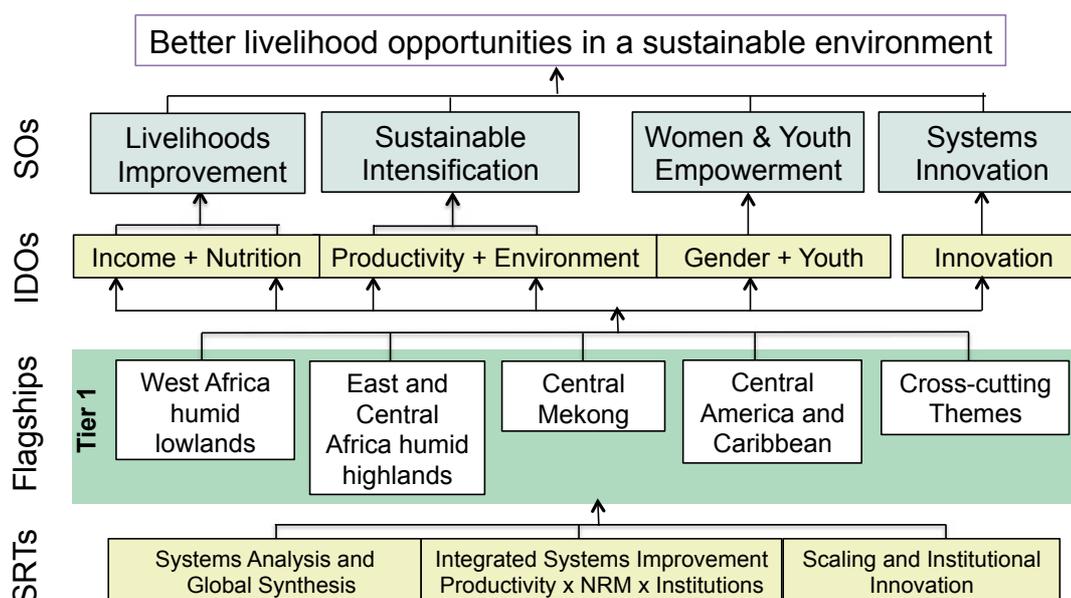
*SO Gender Empowerment* concerns empowering women and youth with better control over, and benefit from integrated production systems, and it is directly linked with the IDO on Gender.

- *IDO Gender* focuses on empowering women to have better control over and benefit from integrated production and marketing systems through specific interventions, and ultimately to transform women's status and position. The IDO also addresses youth and marginalized groups' empowerment as an essential component to ensure their improved access to and control over the benefits from integrated systems interventions.

*SO Systems Innovation* addresses the issue of enhanced capacity for systems innovation and corresponds to the IDO on Innovation (Capacity to Innovate).

- *IDO Capacity to Innovate* is an enabling IDO supporting systems interventions towards achievement of impact at scale. It involves building innovation capacity among the actors within a defined agro-ecological and livelihood system, and facilitating and guiding innovation processes by influencing the socio-technical regimes at work in the various impact domains. The IDO also aims to shift discourse of actors operating at the socio-technical regime level, in support of systems thinking and innovation.

**Figure 1: Humidtropics Programmatic Framework 2013**



### 3.4 Flagship Projects

In 2013, Humidtropics adopted the concept of “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 are further described below.

#### 3.4.1 Crosscutting Flagship

The 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: (i) 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. (ii) Strategic nutrition which focuses on ensuring incorporation of nutrition dimensions within the production and livelihood systems. (iii) 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.

#### 3.4.2 Area-Based Flagships

The area-based Flagship 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. Within each Action Site, R4D Platforms have been established, through which generic entry points for interventions have been identified and Field Sites (departments, municipalities or other administrative unit) selected for Humidtropics implementation. The R4D Platforms in each Action Site build on new and existing partnerships, including farmer organizations, advisory services, research and development partners, the private sector, and policy making entities. 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 are briefly described as follows:

- *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. With an average population density of 263 persons/km<sup>2</sup>, 36% of the population living on less than US\$1.25/day, and 49% of the total land degraded, the region faces debilitating poverty and food insecurity. The entry points identified include improved soil fertility management, integration of legumes and trees into production systems, crop diversification, nutritional integration into cropping and food systems, strengthening of seed systems, integrated livestock production, *Striga* management, and the development of improved value chains for priority commodities.
- *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. About 28% of the population lives on less than US\$1.25/day, the average market access is 3 hours and 58% of land area is degraded. The Flagship has Action Sites in the humid and sub-humid regions of Nigeria, Cameroon, Ghana and Ivory Coast. Broad entry points include intensification and diversification of the tree crop systems, intensification of food crop systems, involvement of youth in agriculture, improvement of market access and strengthening of institutions for innovation.
- *Central Mekong Flagship (CM)*: Over 300 million people live in the Central Mekong area, 63% of whom are agriculture dependent and 29% live on less than US\$1.25/day. Three Action Sites have been selected encompassing portions of six countries. There are operational R4D Platforms in northwest Vietnam, central Vietnam and northern Thailand. The Flagship focuses on systems interventions and analysis of trade-offs among the key components. Emerging themes for interventions include integrated crop-fodder-livestock systems, involving interaction with erosion control and soil fertility management; diversifying mono-crop rubber forests; sustainable intensification of rice rotations with vegetables and potatoes; tackling malnutrition through increasing dietary diversity; integrated pest management; enhancing value-chains, and market access for key commodities.
- *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. In the northern Nicaragua Action Site, the research focus is on three major land use systems: maize-bean-livestock-tree; coffee-banana-tree; and cocoa-banana-tree. Main research is on institutional innovation (policy), dietary diversity in food security, farm/local territory modeling, household decision making tools (trade-offs, resilience), and trade-offs within integrated livestock-fodder-crop-tree systems.

### **3.5 Strategic Research Themes**

Humidtropics has three main Strategic Research Themes (SRTs) that are designed to provide scientific and technical underpinning to the research process, and support the research conducted in the various Flagship Projects.

- *Systems Analysis and Synthesis* establishes the baseline situation and synthesizes progress towards the expected outcome situation.
- *Integrated Systems Improvement* involves researching and mainstreaming promising systems interventions related to productivity, natural resource management, and markets and institutions. This theme also includes use of modeling tools and analysis, gender considerations, research-development interactions, and scaling-out dimensions. Sustainable intensification and diversification are key drivers in this respect.

- *Scaling and Institutional Innovation* focuses on co-evolving institutions via social innovation with the technologies emanating from the integrated systems improvement theme. As such it improves stakeholders' capacity to innovate and supports the scaling of interventions at farm, national and global levels.

During 2015-2016 emphasis is on supporting research initiatives that stem from 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.

### **3.6 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. It will also be backed up with foresight and modeling studies to determine the most appropriate interventions, and their related synergies and trade-offs within or between domains (management and technology, markets and institutions, or policy). 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. T

### **3.7 Gender**

Gender is core in 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 show gender implications, relevance and analysis in the development and implementation of the research agenda.

### **3.8 Partnerships**

The partnership strategy of Humidtropics identifies three levels of partnership engagement. The first level, "Core Partnerships" involves the partnership among the founding members of Humidtropics. These consist of the 11 institutions that sign Program Participant Agreements with IITA, as lead center for Humidtropics, for undertaking and facilitating core areas of work. This batch currently consists of 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. Such responsibilities include R4D Platform coordination, Action Site facilitation, or leading a sub-component in research. These partners operate on delegated authority of a core partner through sub-contracting agreements. The third category of partnerships involves the wider collaboration of implementation partners who engage in the R4D 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 AAS), with

regular consultations and several joint activities undertaken especially related to issues of sustainable intensification and capacity to innovate. In 2013, a number of engagements culminated in a workshop for planning concrete joint projects with CRP-RTB (Roots, Tubers and will intensify partnership efforts in coordination, co-location and collaboration during the extension period are A4NH, MAIZE, L&F, WLE, FTA and CCAFS. Consultation with these CRPs is at variable levels but will be given a boost in the coming phase.

### 3.9 Governance and Management

#### 3.9.1 Arrangements for Management Implementation

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

- *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.
- *Independent Advisory Committee (IAC)*: is appointed by the IITA BoT and has a major advisory role on priority setting, partnerships, 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 eight-member IAC 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 in Tropical Americas, Asia and Africa following the general expertise and insight criteria. The IITA-DG and a 2nd center DG are observers on this committee.
- *Core Partners*: are selected 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. In the course of executing Humidtropics, strategic alliances with new and additional primary partners will be pursued and these partners may come from the NARS, ARIs, Centers, SROs or the private sectors. Each assign a Focal Point who is the interface for planning and reporting of the partners' work in relation to their contract.
- *Executive Office*: IITA, in consultation with the Core Partners appoints an Internationally Recruited (IRS) Executive Director who 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.
- *Management Committee*: has four fulltime Action Area Coordinators (Flagship Managers) and five part-time Strategic Research Theme Leaders. 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 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. They will ensure the fulfillment of their sub-contract's performance measures in the Action Site, inclusive the timely submission of financial and technical reports. Since the end of 2014 RBM&E Officers support Flagship Managers with monitoring and evaluation activities as required to improve reporting and management-decision making.

- *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.

### 3.9.2 Results Based Management

Humidtropics is one of five CRPs conducting a pilot project on Results-Based Management (RBM), guided by the Consortium Office. The pilot involves allocation of special resources to support research generation from R4D Platform action. Proposals are developed by Platforms and grants awarded, on both competitive and commissioned basis. The management of these projects and the grant resources are fully subjected to the principles of RBM. This includes mainstreaming M&E procedures, incorporating key data management processes such as (i) formulating sub-objectives (results), (ii) selecting indicators to measure progress towards each objective, (iii) setting explicit targets for each indicator, (iv) regularly collecting data on results to monitor performance, (v) integrating evaluations to provide complementary performance information; and (vi) using performance information for purposes of accountability, learning and decision-making. The process of phasing-in a RBM System will continue during the extension period. In 2015 and 2016, the number and size of these RBM grants will increase by shifting more resources to allow for larger scale implementation, in preparation for full-scale implementation in the second phase of Humidtropics beginning in 2017. These processes are supported by the introduction of DevResults (<http://www.devresults.com>).

### 3.10 Budget

Donors to CGIAR may designate their contributions to one or more of three funding “windows” channelled through the CGIAR Fund Council:

- Contributions to Window 1 are the least restricted, leaving it to the Fund Council how these funds are allocated to CGIAR Research Programs, used to pay system costs or otherwise applied to achieving the CGIAR mission.
- Contributions to Window 2 are designated to specific CGIAR Research Programs.
- Contributions to Window 3 are allocated by Fund donors to specific CGIAR Centers.

In addition Donors can provide funding to CGIAR Research Programs through bilateral agreements with centers. Budgets by Flagship Projects and source of funding for 2015 are presented in Table 2. It excludes \$950,000 for the Executive Office, which is a small management unit that provides overall leadership, administrative and financial management and supports the Independent Advisory Committee.

Only W1/W2 is under direct management of Humidtropics. W3 and Bilateral funded projects are mapped onto Humidtropics by partners but they usually have their own agreements with governance and management for implementation. Humidtropics at aggregate level includes these in its technical and financial reports. Since the start the program's expected W1/W2 funding levels have always been lower than anticipated which culminated in a large difference in relation to the extension proposal where \$20m was planned for but actually \$12.6m allocated

while allocation for 2014 was \$14.96m in 2015. The CCEE therefore needs to look into this and how it affects implementation, expected results and partnerships.

**Table 2: 2015 budget by Humidtropics Flagship Projects and Funding Source**

Flagship	2015 Budget			2015 Budget	
	<i>Budget</i>	<i>US\$</i>		<i>Budget</i>	<i>US\$</i>
<b>1. Crosscutting</b>	<b>W1/W2</b>	<b>2,576,541</b>	<b>4. Central Mekong</b>	<b>W1/W2</b>	<b>1,676,655</b>
	W3	871,000		W3	0
	Bilateral	0		Bilateral	952,000
	<b>Total</b>	<b>3,447,541</b>		<b>Total</b>	<b>2,628,655</b>
	Gender%	42%		Gender%	22%
	Gender	1,447,967	Gender	578,304	
<b>2. East and Central Africa</b>	<b>W1/W2</b>	<b>3,481,832</b>	<b>5. Central America and Caribbean</b>	<b>W1/W2</b>	<b>1,559,495</b>
	W3	6,933,000		W3	96,000
	Bilateral	1,795,000		Bilateral	220,000
	<b>Total</b>	<b>12,209,832</b>		<b>Total</b>	<b>1,875,495</b>
	Gender%	26%		Gender%	36%
	Gender	3,174,556	Gender	675,178	
<b>3. West Africa</b>	<b>W1/W2</b>	<b>2,355,477</b>	<b>TOTAL</b>	<b>W1/W2</b>	<b>11,650,000</b>
	W3	5,370,000		W3	13,270,000
	Bilateral	720,000		Bilateral	3,687,000
	<b>Total</b>	<b>8,445,477</b>		<b>Total</b>	<b>28,607,000</b>
	Gender%	24%		Gender%	28%
	Gender	2,026,914	Gender	7,902,919	

## 4 CCEE

### 4.1 Complexity

In general systems research is regarded as complex due to considering the different people, culture, components, and institutions that shapes a systems' performance. It blends social and biological sciences in finding solutions that are based on identified systems opportunities and problems that eventually contribute to people's needs. Traditional agricultural commodity research programs usually take more linear approaches, involving using inputs to produce research outputs that are taken up by next users and then are scaled to large numbers of end-users. In systems research there are many such linear processes competing with each other for resources, attention, etc. that all affect the potential to achieving impact at scale. Hence analysis of total farm productivity, trade-offs and synergies in relation to variable entry-points are an essential component of systems research. The challenge for Humidtropics is to provide the evidence base for explaining what the systems research products are and how they provide plausible solutions to deal with developmental challenges at scale.

### 4.2 Purpose

The main purpose of the CCEE is to review and enhance the contribution that Humidtropics is likely to make towards reaching the CGIAR goals through its integrated systems research approach and unique partnership platforms in tropical Americas, Asia and Africa. The CCEE is expected to provide essential formative evaluative information for decision-making by Humidtropics management, partners and investors on issues such as finance and management arrangements, partnership development, platform research initiatives, research on sustainable intensification and capacity to innovate extension, expansion and structuring of the program and adjustments in aspects of the program that arise from the evaluation.

Taking into account the nature of this new systems program and the stage of its development, the CCEE evaluation should aim to provide an overview and critical analysis of the relevance of

the program and the plausibility of its approach towards achievement of results that lead to the IDOs. The CCEE provides accountability, re-enforcing the principle of mutual accountability and responsibility among program, donors and partners, and learning among Humidtropics partners and its stakeholders for improving program relevance and efficiency.. It will look at the extent to which Humidtropics within its mandate is responding to the key aspirations underlying the CGIAR reform related to vision and focus, delivery orientation, synergy through efficient partnerships and accountability.

### **4.3 Scope**

The first 3-year phase of the program was due to end in June 2015. A decision was made by the CGIAR, for all CGIAR Research Programs to seek extension of this first phase to the end of 2016 to allow for the development of 2<sup>nd</sup> phase proposals. The CCEE will cover all Humidtropics' research activities and related processes funded by Window 1, 2 and 3 bilateral funds but with focus on the Windows 1/2. Humidtropics core partners include CGIAR and non-CGIAR organizations in an expanded global formalized knowledge network that taps into the combined strengths of the different core disciplines the partners have recognized expertise with. Thus in reviewing research performance, particular emphasis will be given to the plausibility of the approach and the extent this network is delivering results that mature to outcomes that lead to expected impact. The scope of the Humidtropics CCEE is broad, including assessing how legacy projects experiences have influenced the development of the program and approaches taken and how this relates to its relevance, efficiency and quality of research with enhanced potential for results and impact.

The CCEE takes place during the Extension Period with a governance and management structure that was implemented since the start of the program but with a new programmatic framework (see 3.3) in operation. The dimension of this evaluation that will focus on the new programmatic approach is formative and process-oriented and undertaken to enhance the relevance and efficiency of Humidtropics and the likelihood of its effectiveness in contributing to the CGIAR results framework. It will seek answers to the question if Humidtropics is well designed and positioned to help the CGIAR contribute to the achievement of the System Level Outcomes at scale. The evaluation will examine the quality and relevance of Humidtropics research and its institutional context and relation to other CGIAR Research Programs. This will include examining the effectiveness and efficiency of the institutional structure and management systems of the CRP and the extent to which its incentives among researcher and partners supports high quality research oriented towards tangible outcomes. The strategic issues and evaluation questions are structured around approach, research, partnerships and organizational performance. The CCEE Team is tasked to refine and prioritize them during the inception phase, in consultation with the stakeholders.

The CCEE of programmatic performance will address the evaluation criteria presented in section 4.4. The CCEE will look at the process, research quality and analytical rigor in the development of impact pathways including the plausibility of linkages between outputs and outcomes to the IDOs and beyond towards the SLOs and the assumptions including those that relate to external factors that are crucial for the planned outcomes and impact. It seeks answers to the question if the Theory of Change / Conceptual model is plausible, implementable and testable, and if there is a comparative advantage of the CGIAR in this area? The CCEE will examine the extent to which the challenges for linking research outputs to development outcomes and scaling out promising results are addressed in the program. It will take into account the extent to which gender analysis is incorporated into research design and targeting, dissemination strategies and analysis of results. Partnership approaches, capacity strengthening and communication strategies will be examined regarding their efficiency for overcoming constraints to adoption and sustainability of results and enhancing the likelihood of impact.

The assessment of organizational performance will primarily pertain to aspects of efficiency and effectiveness with focus on program design, structure, partnerships, finance, collaboration and processes from the organizational and management point of view. It seeks to provide answers if Humidtropics has the resources and capacity to implement the program?

Areas of emphasis include:

- Value-addition including in organizational effectiveness, management structure, partnership management and transaction costs.
- Resource allocation and fund distribution between institutions and program components, and alignment of different funding with program objectives.
- Influence of CGIAR system level obligations and reform initiatives.
- Meeting funders' needs for accountability and ensuring that the program is fit for purpose.
- Learning and continuous improvement, especially with regard to: research, partnerships, governance and management, skills, and resource requirements, allowing for the engagement of key partners in a dialogue to increase ownership and common understanding of how goals are to be achieved.

#### **4.4 Criteria**

The CCEE will address the following evaluation criteria; relevance, efficiency, quality of research, and effectiveness through a set of evaluation questions, which will be mostly developed during the inception phase. A tentative list of evaluation questions is given below. These will be refined and further elaborated during the inception phase by the Evaluation Team in consultation with the Humidtropics Executive Office and relevant stakeholders.

##### **4.4.1 Relevance**

###### *Coherence*

- Is Humidtropics strategically coherent and consistent with the CGIAR's Strategy and Results Framework including its crosscutting gender and capacity development priorities?
- What is the rationale for and coherence between Humidtropics' Flagship Projects?
- How are the different sources and types of funding influencing the program's coherence?

###### *Comparative advantage*

- What is the additional value that Humidtropics delivers to the CGIAR research portfolio that enhances its capacity to deliver relevant international public goods that lead to impact?
- Is the assumption that Humidtropics through its support to developing systems' actors capacities to innovate and for women and youth to participate lead to better results and impact than other research programs and suppliers plausible?
- Does Humidtropics as a knowledge based network, especially in relation to the 11 core partners play an appropriate role as global leader and facilitator in integrated systems research compared to individual partners and other research suppliers?

###### *Program design*

- Do the overarching theory of change and impact pathway translate into more specific site-relevant theory of change and impact pathway(s) that take into account gender, youth, and trade-offs between multiple objectives?
- Do the Flagship Projects and clusters of activities target an appropriate set of and/or make reasonable assumptions about the results of other actors' work to achieve objectives?
- Have Humidtropics research activities been adequately prioritized in line with resource availability and needs?
- Has gender been adequately considered in research design in terms of relevance to and effect on women and youth?

- To what extent do capacity development efforts address systems' actors needs taking into account the differential needs of men and women of different generations?
- To what extent are the three levels of partnerships relevant to achieve program objectives?

#### 4.4.2 Efficiency

- Are Humidtropics institutional arrangements, partnerships and management and governance mechanisms efficient and effective and consider gender mainstreaming adequately?
- To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency and successful program implementation?
- Is the level of collaboration and coordination with other CGIAR Research Programs appropriate and efficient for reaching maximum synergies and enhancing partner capacity?
- Is the monitoring and evaluation system adequate and efficient for recording and enhancing Humidtropics processes, progress, and achievements disaggregated by gender and age?

#### 4.4.3 Quality of Research

- Do the research design, problem setting and choice of approaches reflect high quality and up to date thinking, state-of-the-art knowledge and novelty in the areas of research?
- Is it evident that the program builds on the latest scientific thinking and research results?
- Are the internal processes and conditions, including research staff, leadership quality, and gender considerations adequate for assuring research quality?
- Are the research outputs, such as methods, tools, approaches, and publications of high quality?
- Are negative as well as positive findings documented and disseminated?

#### 4.4.4 Effectiveness

- Is the integrated systems approach potentially more effective in leading to impact at scale?
- How to assess the effectiveness of multiple social and technical systems interventions leading to positive results that in practice compete for scarce resources?
- To what extent have planned outputs and outcomes been achieved or are likely to be achieved? Why? Why not?
- What are the prospects for sustaining financing, for example, for long-term research programs and key partnerships?
- Are the partnerships chosen and managed to improve effectiveness?
- Have gender and generations been adequately considered in the impact pathway, generating equitable benefits for both women and men and enhancing the overall likelihood enhancing the livelihoods of women?

### 4.5 Approach

As mentioned the CCEE is expected to be mainly formative although it includes an assessment of legacy projects that are integrated or closely linked with Humidtropics. The forward-looking CCEE is expected to review inter alia, program design and processes, progress made so far towards results, gender mainstreaming, governance and partnerships and the plausibility of the systems approach towards impact at scale. Systems as mentioned are complex with multiple actors and disciplines and an approach with related methodologies should include independent expert and stakeholder panel interviews, direct observation in selected Action Sites, literature review and other secondary sources, and survey instruments that capture wider perspectives and for triangulation purposes. The CCEE process will thus ensure that in developing findings, conclusions and recommendations there is broad consultation among stakeholders for capturing a broadly representative range of viewpoints. The evaluation team should ensure that the findings are informed by evidence. This implies that all perceptions, hypotheses and

assertions obtained in interviews will be validated through secondary filtering, cross checks by a triangulation of sources, methods, data, and theories.

## 4.6 Stakeholders

The main stakeholders of this evaluation are listed with their role and interests in table 1.

**Table 1: CCEE Stakeholders, their roles and interest**

Stakeholder	Role in Humidtropics	Interest in the CCEE
<b>Internal Stakeholders</b>		
CGIAR Primary Clients		
CGIAR Fund Council Consortium Board	High influence but no direct participation	Accountability of Humidtropics Learning for improvement of CGIAR Research Program portfolio and implementation Decision on 2 <sup>nd</sup> phase CGIAR Research
CGIAR CRP Level		
Management	Program implementation	Accountability for performance Learning for improvement of Humidtropics Increasing the likelihood of participating in the 2 <sup>nd</sup> phase of CGIAR Research Programs
Independent Advisory Committee	Provide independent strategic advice on program implementation to program management and Lead Center Board.	Improving Humidtropics performance Reflection to improve committee's performance in the governance and management of Humidtropics
Researchers	Carry out research to produce outputs that contribute to the IDOs that lead to impact.	Improving Research Performance Relevance to social and economic development
CGIAR Centre level		
Lead center Management	Oversight and implementation of Humidtropics	Improving Humidtropics performance Reflection to improve Lead Center's performance in the governance and management of Humidtropics
Lead center Board	Fiduciary responsibility Oversight of Humidtropics	Improving Lead center performance and comparative advantage in overseeing, accounting for and supporting Humidtropics.
Boards and Management of participating CGIAR and non-CGIAR Core Partners	Oversight of activities carried out by their researchers participating in the implementation of Humidtropics	Improving Partner organization performance and comparative advantage in overseeing, accounting for and supporting its researchers to deliver on Humidtropics.
<b>External Stakeholders</b>		
Donors	Informants (selected)	Decision making for resource allocation. Learning for improved donor performance within CGIAR
Research Partners	Informants (selected)	Express their perspectives Accountability for contribution
Development partners	Informants (selected)	Express their perspectives Accountability for contribution Improve CRP development impact
Beneficiaries e.g. farmers and policy makers	Informants (selected)	Express their perspectives Improve relevance of CRP research
IEA	Support and quality assurance	Ensuring accountability of Humidtropics Learning from Humidtropics CCEE Synthesizing learning across CRPs

## 4.7 Timeframe and Phases

The timeframe (table 2) provides an at a glance overview of the Inception, Inquiry and Reporting phases which are summarized below.

### 4.7.1 Inception

The inception phase is the responsibility of the CCEE Team (Independent Consultants) with support from the Humidtropics Executive Office. The CCEE's scope, focus, approaches and methods, and the evaluation questions in detail will be defined during the inception phase. The tasks during the inception phase include:

- Development of an evaluation framework, including sampling strategy, for the assessment of Humidtropics research.
- Development and refinement of the CCEE questions and an evaluation matrix that identifies means of addressing the questions, including an outline of the data collection methods and data sources.
- Detailed specification of the CCEE timetable which includes plan for site visits
- Indicative CCEE report outline.
- Division of roles and responsibilities among the team

These elements will be drawn together in a CCEE inception report which, once agreed between the team and the Executive Office, will represent the contractual basis for the team's work. Subject to the agreement of the Director Humidtropics, adjustments can be made in a transparent fashion during evaluation implementation in the light of experience.

### 4.7.2 Inquiry

The CCEE 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. The methods and approaches that are refined in the inception report may include:

- Interviews with a variety of stakeholders both within and outside the CGIAR for obtaining qualitative views on, for instance, relevance and quality of research, likely effectiveness and aspects of partnership management.
- Expert and stakeholder panels.
- Surveys among Humidtropics researchers, partners and other stakeholders for gauging general perceptions and satisfaction with program relevance, progress and achievements.
- Field visits to selected Flagship Projects, partner organizations, and IITA Headquarters to generate information on program activities and partner relations. Use will be made of management and research meetings that allow engagement with a range of stakeholders (direct observation).
- Case studies of selected research areas or projects.

### 4.7.3 Reporting

The reporting phase is having the following key components

- *Draft Summary*: Shortly after the inquiry phase this report serves as input into the shaping of 2<sup>nd</sup> phase proposals by providing summary initial feedback on the early findings.
- *Presentation of preliminary findings*: The CCEE Team is expected to present its preliminary report to the Humidtropics Management Committee, Focal Points and members of the IAC first to assert its factuality.
- *Final CCEE Report*
- *QAA Review by IEA*: to ensure technical rigor to the CCEE, the following quality assurance mechanisms will be implemented during the evaluation exercise. The Executive Office will conduct quality control throughout the evaluation process. This quality control will in no respect be allowed to impinge on the full independence of the evaluation team in conduct of the evaluation and in deriving their findings, conclusions and recommendations but will

support the 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. IEA will provide feed-back at different milestones, including terms of reference, team recruitment, inception report and evaluation report. The IEA Quality Assurance Advisory Panel (QAAP) will independently provide a quality statement on the evaluation at its completion.

- *Management response, reviews and approval:* The Humidtropics management response will be specific in its response to evaluation recommendations as to the extent to which it accepts the recommendation and reasons for partial acceptance and non-acceptance, and for those recommendations which it accepts partially or in full, what follow-up action it intends to take, in what time-frame. The consolidated response of Humidtropics management with approval from the Lead Center Board, and the Consortium Board will be a public document made available together with the evaluation report for the consideration of the CGIAR Fund Council.

#### 4.7.4 Main limitations and constraints of CCEE

- Due to the limited time that Humidtropics has been in operation (since July 2012), the CCEE has only a relatively short time for assessing program performance and achievements to-date.
- The CCEE ability to assess achievements and impact from past research relevant to the current program may be limited by the lack of evaluative information across program areas.
- The size and geographic spread of Humidtropics (tropical Americas, Asia and Africa) may limit the scope of the evaluation, which will need to select suitable methods to assess the program through, for example, representative sampling.

#### 4.7.5 Timeframe

The duration of the assignment is 85 days for the Team Leader and 60 days for each of the Specialists, subject to change based on the team's Inception Report.

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

<b>Phase</b>	<b>Period</b>	<b>Main Outputs</b>	<b>Responsibility</b>
<b>1. Inception Phase</b>	March - April	Inception Report	CCEE Team
<b>2. Inquiry Phase</b>	April - July	Various reports and analysis products as defined in inception report	CCEE Team
<b>3. Reporting Phase</b>			
<i>3.1 First Draft Report</i>	August	Draft CCEE Report with preliminary findings	CCEE Team
<i>3.2 Feedback</i>	October	Feedback from main stakeholders on draft report	CCEE Team
<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, FC

## 4.8 Governance, Team and Responsibilities

A team of three independent external experts will conduct the CCEE representing diversity in professional discipline, origin and gender and will comprise of:

- Evaluation Team Leader
- Evaluator Sustainable Intensification of Integrated Farming Systems
- Evaluator Institutional Innovation of Integrated Systems

The Team leader will have a suitable background in research-development interfaces and solid experience in leading evaluations of complex programs. The team leader will be supported by two evaluators who will between them have extensive and proven experience at international level, working for research or development agencies, on social and technical issues, programs and policies related to a) Sustainable Intensification of Integrated Farming Systems and b) Institutional Innovation of Integrated Systems in developing country context. In addition the team collectively will have competence to assess:

- Program governance, organization and management, including financial management.
- Sociological and gender issues
- Capacity development issues
- Institutional and policy analysis in the context of development
- Research planning, methods and management
- Communication and partnership

The team leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards. The team members should not have engaged with Humidtropics or program partners in any way that would present an actual or perceived conflict of interest. The working language is English.

The Humidtropics Executive Office will be responsible for planning, initial designing, initiating, and managing the evaluation. The IEA will guide the Executive Office in quality control of the CCEE process and outputs, and dissemination of the results. The Executive Office will provide support to the CCEE Team throughout the evaluation.