

TERMS OF REFERENCE

for the Evaluation of the
CGIAR Research Program on Livestock and Fish



Independent
Evaluation
Arrangement

More meat, milk and fish by and for the poor

OCT 2014

1. Background

1.1. Rationale and context

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])¹, 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 Centres and their partners through 15 multi-partner CGIAR Research Programs (CRPs) and additional work undertaken by the Centres directly. It is funded through a pooled funding mechanism in the Fund² 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.

In the CGIAR, the Independent Evaluation Arrangement (IEA) Office is responsible for System-level Independent External Evaluations. The main mandate of the IEA is to lead the implementation of the CGIAR Policy³ for Independent External Evaluations, through the conduct of strategic evaluations of the 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 Rolling Work Plan for 2014-17, approved in November 2013 by the Fund Council, foresees the evaluation of up to 10 CRPs over the 2013-2015 period. The order in which the CRPs will be evaluated was established on the basis of different criteria, such as the size of the CRP, its starting date, the extent to which it carries on past Center research, and the time elapsed since the lead Center was evaluated through an External Program and Management Review (EPMR).

The CGIAR Research Program on Livestock and Fish is one of the CRPs which are planned to be evaluated in 2015⁴. The program is currently in its first phase and has just submitted its Extension Proposal for 2015-

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

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

³ http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR_evaluation_policy_jan2012.pdf

⁴ The CRPs which are going to be evaluated in 2015 are: Climate Change, Agriculture and Food Security (CCAFS), Rice, known as the Global Rice Science Partnership (GRiSP), Water, Land and Ecosystems (WLE).

2016 which has been reviewed by the ISPC and the Consortium Office. This is an intermediate step while the second phase of CRPs which will start in 2017 may involve more substantive changes.

1.2. Program overview

The CRP on Livestock and Fish (L&F) is led by the International Livestock Research Institute (headquarters in Nairobi) with the participation of WorldFish, the International Center for Agricultural Research in the Dry Areas (ICARDA) and the International Center for Tropical Agriculture (CIAT).

An initial proposal (based on various stakeholder consultations) was submitted to the Consortium Board in September 2010 and after feedback and revisions, the proposal (content, total budget and its components) was approved with light adjustments at the 5th Fund Council meeting in Washington DC in July 2011 and was officially launched in January 2012.

The overall goal of L&F (as outlined in the Proposal document) is

“to increase productivity of small-scale livestock and fish production systems and performance of associated value chains so as to increase availability and affordability of meat, milk and fish for poor consumers and, in doing so, to reduce poverty through greater participation by the poor along animal source food value chains”.

L&F aims to achieve this by addressing key constraints and opportunities in targeted animal source food value chains. L&F proposes to combine upstream (global) research with research for development which addresses identified challenges in the selected value chains. The value chains were selected based on a variety of criteria (market opportunity, pro-poor potential, researchable supply constraints, enabling environment, existing momentum).⁵

Program evolution

Initially L&F was structured around three different Research Themes with several different components:

1. Improved technologies to sustainably increase productivity and efficiency of livestock and fish Production (short-term adaptive research for development and longer-term upstream research)
2. Development strategies for pro-poor, gender-equitable value chains for livestock and fish products (more downstream, improving delivery systems, and developing value chains)
3. Targeting, gender and impact assessment (priority setting, planning strategies for translating outputs into outcomes, gender analysis and integration, and monitoring progress and assessing impact)

In 2012 (the first year of operations) L&F streamlined its structure, reducing the original 3 Themes divided into 9 Components to a new structure of 6 Themes without Components. The six themes were: animal health, genetics and (animal) nutrition (originally all part of the Technology Development theme) and value chain development, targeting for sustainable interventions and gender. The latter three Themes apply a combination of relevant biological and social science to address key dimensions associated with

⁵ The selected value chains in the Proposal were: tilapia and African catfish in Uganda and Egypt, sheep meat in Ethiopia, goat meat in Mali, milk in India, milk in Tanzania, milk in Nicaragua (dual purpose cattle), pig meat in Vietnam and pig meat in Uganda

pro-poor value chain development and intensification and ensuring more effective agricultural research-for-development that translates into impact.

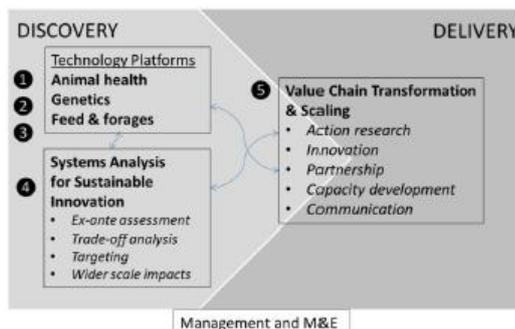
The Program Proposal and Theory of Change presented to donors in 2013⁶ outlined two impact pathways both on delivery systems. Within the first impact pathway L&F focuses on the selected value chains and works with development partners to identify and implement more relevant Research for Development. The second impact pathway sets out with the production of International Public Goods (IPGs) which further have to be communicated, adapted to local needs and out-scaled.

The following Intermediate Development Outcomes (IDOs) have been defined:⁷

IDO1:	Increased livestock and fish productivity in small-scale production systems for the target commodities
IDO2:	Increased quantity and improved quality of the target commodity supplied from the target small-scale production and marketing systems
IDO3:	Increased employment and income for low-income actors in the target value chains, with an increased share of employment opportunities for and income controlled by low-income women
IDO4:	Consumption of the target commodity responsible for filling a larger share of the nutrient gap for the poor, particularly for nutritionally vulnerable populations (women of reproductive age and young children)
IDO5:	Lower environmental impacts per unit of commodity produced in the target value chains
IDO6:	Policies (including investments) and development actors recognize and support the development of the small-scale production and marketing systems, and seek to increase the participation of women within these value chains, will contribute to all outcomes at the system level.

The Extension Proposal for 2015-2016 continues to be structured around the two impact pathways mentioned above and aims at the same six Intermediate Development Outcomes. The major structural change is the move to five Flagship Projects (which are to replace the Research Themes). The below graph presents the program structure envisaged for the near future, including the Flagship Projects:

Figure 1: L&F approach (Extension Proposal)



Source: L&F Extension Proposal (April 2014).

⁶ Results Strategy Framework and Intermediate Development Outcomes (IDOs) for the Livestock and Fish Research Program (March 2013), presented at donor meeting in June 2013

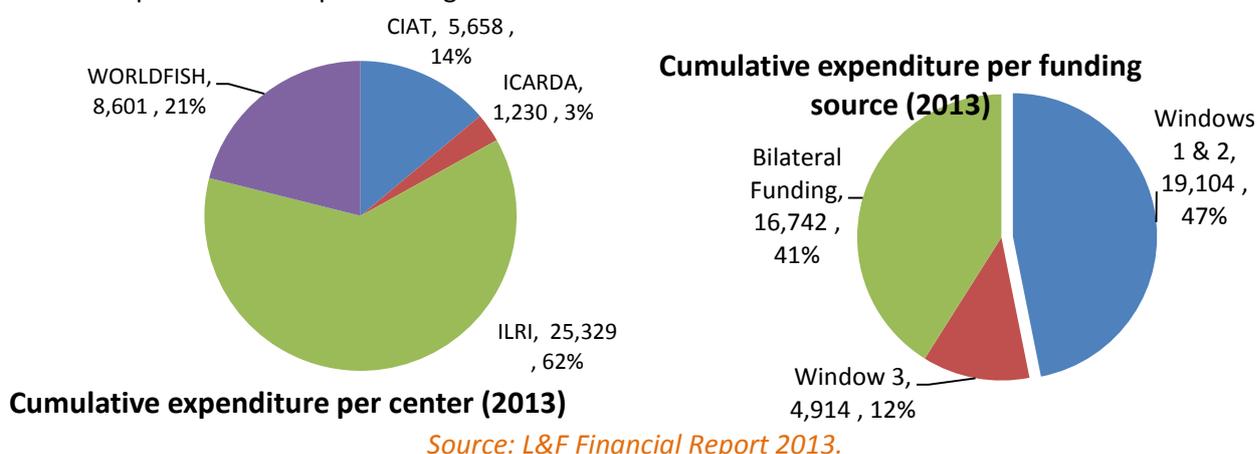
⁷ These six IDOs have been maintained for both, the Program of Work and Budget 2014 and the Extension Proposal 2015/2016

Budget and expenditures

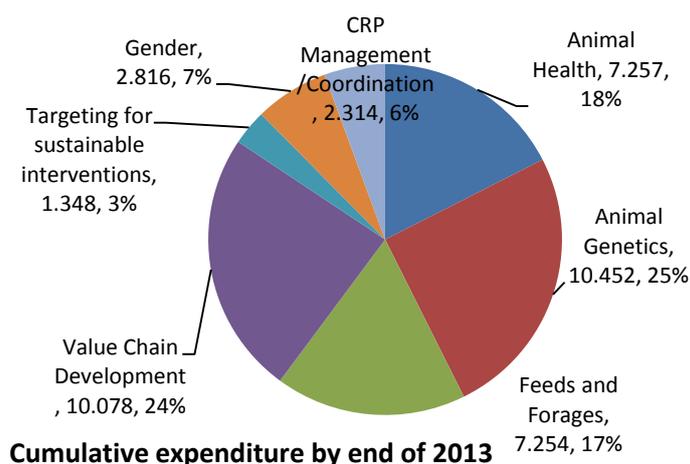
The initial three-year budget amounted to a total of USD 99.5 million (including institutional overhead), with an initial yearly budget of around USD 30 million rising to USD 36 million in the third year of operations. It was envisaged that 35 percent of funding would come from the CGIAR Fund and the remaining part was to be contributions from restricted donor programs (bilateral projects) and other income (not defined). ILRI was planned to have a share of 65 percent of total budget, followed by WorldFish with 25 percent and small shares for CIAT and ICARDA (7 and 3 percent respectively).

Until the end of 2013 (first two years of operations), L&F spent a total of USD 40.8 million. Window 1 and 2 contributed 47 percent of total funding and Window 3 another 12 percent; thus beyond the predictions from the Proposal. In both years, the actual budget was smaller than the approved budget with the shortfall being explained by lower than expected Window 3 and bilateral funding (which was half than in proposal).

The shares per center and per funding source are shown below:



About half of the expenditures have been for research in animal genetics (mostly by ILRI for livestock and WorldFish for fish) and value chain development (ILRI, WorldFish, some CIAT). Animal Health research is almost entirely implemented by ILRI, and CIAT implements more than half of the Feeds and Forage theme. ICARDA has a small share of activities (some animal genetics and value chains).



Source: L&F Financial Reports 2012 and 2013

Progress and current activities

The first year of implementation was mostly focused on establishing the institutional and scientific frameworks and initiating value chain assessments. The latter led to dropping two of the targeted value chains (aquaculture in Uganda and small ruminants in Mali) and L&F re-directed research towards aquaculture in Bangladesh and small ruminants in Burkina Faso (not mentioned in the Proposal). Over 2012-13 progress has been made in the four African value chains in Uganda, Tanzania, Egypt and Ethiopia while work advanced in the remaining three value chains at a modest level of activity due also to lower than expected bilateral funding (Nicaragua, India, Vietnam).

As indicated in the 2014 Program of Work and Budget (POWB), L&F remains concentrated on the nine value chains where activities have been initiated and uses initial assessments to inform research priorities for the three technology generation themes. Furthermore it is intended to strengthen stakeholder participation and strategic research and development partnerships.

Governance and management

The CRP is managed by a small management unit which is located at ILRI Nairobi. It is composed of a Program Director, a Head of Development Partnership, a Program Support Coordinator, a Program Administrative Assistant and a Communications Officer.

Each Research Theme is led by a Theme Leader whose primary responsibility is to lead the planning and reporting exercises for Theme research agenda. The Program Director reports directly to the ILRI Director General. The management unit prepares annual work plans and budgets and annual reports for submission to the Consortium Office

A **Leadership Team** was established which includes the CRP management team, the six Theme Leaders, a WorldFish program manager (who was hired full time for L&F) and ICARDA and CIAT focal points.

The **Program Planning & Management Committee (PPMC)** "oversees the planning, management and implementation of the CRP and ensures that the Program Implementation Agreement for the CRP

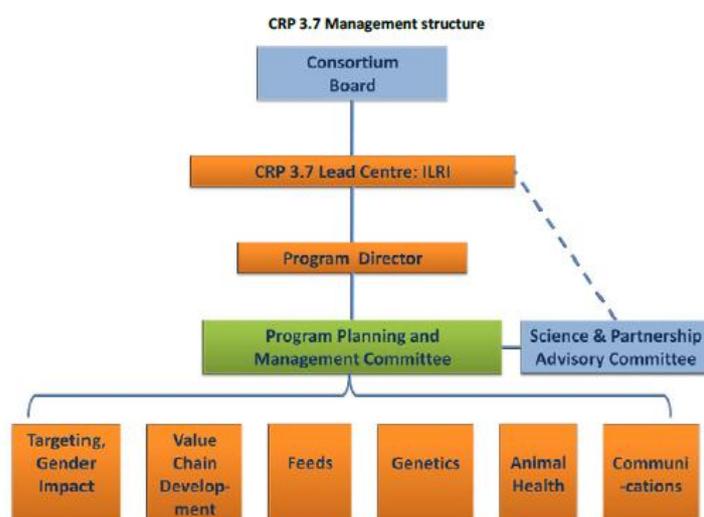
between ILRI and the Consortium Board is being effectively delivered". It is composed of the CRP Director, representatives of the four partner centers, the CRP Head of Development Partnerships and three science leaders and the ILRI Director of Corporate Services.

L&F also has got a **Science and Partnership Advisory Committee (SPAC)** which provides advisory support and guidance to help orientate the program strategically. It currently has six external members and reports mainly through the Program Planning & Management Committee (PPMC).

As for all CRPs, L&F is governed by three different levels of contractual agreements which provide for programmatic and fiduciary oversight of the W1-2 funds provided to the program:

1. Between the CGIAR Fund Council (donor) and the Consortium a **Join Agreement** was signed which governs the submission and approval of CRP proposals and the transfer and use of W1-2 funds to CRPs. The **Consortium Performance Agreement** in relation to L&F, in which the Consortium assumes overall financial and programmatic responsibility for the implementation of L&F.
2. Between the CGIAR Consortium and the Lead Center, ILRI: The Consortium and ILRI have signed a **Program Implementation Agreement** in which ILRI assumes responsibility to the Consortium for the use of W1-2 funds transferred to it and for the satisfactory performance of L&F.
3. Between ILRI and the three other participating Centers: ILRI has signed a **Program Participant Agreement** with each participating Center in which each Center is responsible to ILRI for the use of W1-2 funds transferred to it and for the satisfactory performance of its activities in relation to L&F

Table 1: Original management structure



Source: L&F Proposal (March 2011).

2. Evaluation purpose and clients

The principal purpose of this evaluation is to **enhance the contribution** that L&F is likely to make to reaching CGIAR goals and to reaching the program objective of increasing productivity of small-scale livestock and fish production systems and performance of associated value chains

As all CRP evaluations, the purpose of the evaluation of L&F is to provide evaluative judgments which inform **decision-making** by Program management, its funders and partners with respect to issues such as continuation, expansion and structuring of the program and adjustments in various aspects of the program. In November 2013, the Fund Council of the CGIAR agreed that the call for the second round of CRPs and full proposal development will not be initiated until all current CRPs have undergone some form of external evaluation⁸. In that context, the evaluation of L&F is expected to provide information for decisions on the program formulation and selection in the second funding call in 2016. Taking into account the stage of the program and given its nature and timelines for results, the evaluation aims to provide an overview and critical analysis of the relevance of the program and its achievements to date and/or progress towards their achievement.

The evaluation provides both accountability, re-enforcing the principle of **mutual accountability** and responsibility among program, donors and partners, and learning among the CRP and its stakeholders for improving the likelihood of program relevance, efficiency and sustainable results. It will look at the extent to which L&F, within its mandate, is responding to the key aspirations underlying the CGIAR reform related to vision and focus, delivery orientation, synergy through efficient and effective partnerships and accountability.

The main stakeholders of this evaluation are the management of L&F, all participating Centers (CIAT, ICARDA, ILRI, WorldFish), partners associated to the Program, the CGIAR Fund Council, and the Consortium Board (see Table below).

Table 2: CRP evaluation stakeholders

Type of stakeholder	Role in CRP	Interest in evaluation
CRP level		
L&F management and leadership team	Management of CRP	Lessons learned to increase performance of CRP
SPAC	Oversight of CRP Strategic advice for CRP	Accountability CRP performance Lessons learned about effectiveness of Governance committees
L&F Researchers	Carry out research	Research performance
Center level		
Lead center management	Management of CRP	Organizational performance Comparative advantage
Lead center board	Fiduciary responsibility Oversight of the CRP	Organizational performance Comparative advantage
Boards and management	Oversight of CRP activities	Organizational performance

⁸ Either an IEA commissioned evaluation or a CRP commissioned evaluation

of participating centers	carried out by its center	Comparative advantage
CGIAR level		
CGIAR Fund Council	Oversight on use of funds for CRP	Accountability CRP performance Decision making for resource allocation
Donors of bilateral projects	Funding source	Accountability CRP performance Decision making for resource allocation
CGIAR Consortium	Integrating CRP research with other CRPs, strategic alignment of CRPs, coordinating between CRPs	Lessons learned to increase the effectiveness and relevance of the work of the CGIAR; Lessons learned to increase the efficiency and accountability of the CGIAR.
Partners		
Research partners	Participate in the design and conduct of CRP research	Research Performance Collaboration mechanisms, Capacity development
Development and Boundary Partners	Targeted stakeholders for implementing change	Relevance of CRP and its research, Research Performance, Collaboration mechanisms, Capacity development
Beneficiaries; e.g. policy-makers, farmers	Targeted clientele for development oriented research	Relevance, effectiveness and impact of CRP and its research

3. Evaluation scope

The evaluation will cover all research activities that are part of L&F and processes related to its implementation.

To this end, the evaluation will need to bear in mind that while several L&F activities are fully funded through the unrestricted funding channels (Windows 1 and 2), L&F also includes project-specific bilateral grant contracts between the implementing centers and donors. Furthermore, even though L&F started in January 2012, some of the research carried out by Centers, which is now included under the L&F umbrella, has been ongoing for a number of years⁹. Therefore, L&F is made up of research projects with multiple timeframes. Clarity on the extent to which L&F contains “transferred” research from new lines of research is part of the evaluation preparatory work.

The last CGIAR evaluation which covered livestock research was published in 2008 for ILRI, while fish research was reviewed for WorldFish in 2007.¹⁰ The scope of the evaluation includes assessing results of

⁹ For example, the USDA-funded International Cooperation in Animal Diseases project and the Cereal Systems Initiative for South Asia (which CIMMYT leads) has been ongoing for about six and five years.

¹⁰ See CGIAR Science Council (2008) Report of the Second External Program and Management Review (EPMR) of the International Livestock Research Institute (ILRI) and CGIAR Science Council (2007) Report of the Third External Program and Management Review of the WorldFish Center

past research which is continuing within L&F. This part of the **summative** dimension will determine to what extent results at outcome- and impact-level have been achieved from L&F research continuing from the past.

The evaluation is being undertaken at a time when the CRP has completed its first funding phase and is adjusting its program design in accordance with guidance from the CGIAR Consortium Office. This adjustment includes restructuring the program into Flagship Projects, defining program theories of change and impact pathways and defining Intermediate Development Outcomes (IDOs) with target achievement goals for the medium-term (about a 10-year time span), with measurable indicators for progress and results. The **formative** dimension of this evaluation will evaluate the **programmatic approach** undertaken to enhance the relevance and efficiency of L&F, examining the likelihood of its effectiveness to contribute to the CGIAR SRF vision, SLOs and outcomes as defined in the results framework. Furthermore **research** will be evaluated for relevance, quality of science, efficiency, likely effectiveness and sustainability.

In that context, L&F is currently commissioning a Review of its **value chain approach** which aims to assess whether it is being implemented effectively, efficiently and in a manner that contributes to the overall quality of its science outputs¹¹. The findings of the evaluation will be an important input into the evaluation and the CRP evaluation Team will coordinate closely with the Value-Chain Review Team.

The evaluation will also examine the institutional context of L&F and its relation to other CRPs. This will include assessing the effectiveness and efficiency of the institutional structure and governance and management systems of the CRP, and the extent to which L&F incentivizes high quality research oriented towards tangible outcomes among scientists and partners.

The strategic issues and evaluation questions are structured around **two dimensions**:

1. Research/programmatic performance:

Research/programmatic performance refers to the program design and results of L&F, and assesses L&F against the IEA standard evaluation criteria of relevance, quality of science, effectiveness, impact and sustainability.

In assessing results and sustainability, the evaluation will take into account different time frames:

- Results from research prior to establishment of L&F—outputs, outcomes and impacts—emerged and emerging from the L&F program (summative); and
- Progress since 2012, during which time L&F has been set up and continues to evolve with a newly defined structure, targets and impact pathways (formative).

¹¹ See the TOR for CRP Commissioned External Review of the Value Chain Approach, 2014

2. Organizational performance

The evaluation organizational performance will pertain to aspects of efficiency and effectiveness related to CRP governance and management structure and management/coordination processes from the institutional and CRP management point of view.

Areas of emphasis include: the changes and value-added brought about by the CRP structure relative to the previous programs, including in areas of

- organizational effectiveness
- governance and management structure
- partnership management
- resource allocation and fund distribution between institutions and program components,
- alignment of different funding with program objectives;
- adherence to legal arrangements (including the appropriateness of IP management and System-level obligations);
- monitoring and evaluation system in place
- and organizational learning.

4. Evaluation Criteria and Questions

The evaluation will address the six evaluation criteria; **relevance, efficiency, effectiveness, impact, sustainability and quality of science** through a set of evaluation questions¹². Key evaluation questions are given below. The questions will be refined and further elaborated during the inception phase by the Evaluation Team Leader in consultation with relevant stakeholders.

4.1. Research/Programmatic performance

Relevance

Demand side relevance measures the extent to which the objectives and design of L&F are consistent with current global and national priorities and policies on livestock and fish research for development, as well as those of intended beneficiaries, partners and donors. The supply side relevance refers to the coherence and alignment of the L&F portfolio against the Program overall and Flagship objectives. Moreover, in the context of the CGIAR, it also refers to the extent to which the L&F is consistent with the System Level Outcomes (SLOs) as articulated in the Strategy and Results Framework (SRF) and is aligned with the reform agenda of the CGIAR

Relevance also includes the assessment of the comparative advantage of L&F, which looks into the program's positioning compared to global, regional and national programs and organizations.

- How coherent and consistent is the L&F portfolio with the program objectives and IDOs? How coherent and consistent are L&F's objectives with the main goals and SLOs presented in the CGIAR's SRF?
- How well do L&F objectives and impact pathways respond to the needs of intermediary users and ultimate beneficiaries of the CRP research products?

¹² See IEA/CGIAR Standards for Independent External Evaluation.

- To what extent does L&F respond to the development challenges of small-scale livestock and aquaculture systems?
- What is L&F's comparative advantage in addressing specific development issues through research on livestock and fish?

Quality of Science

Quality of science is understood as the first step along the impact pathway towards program effectiveness. The evaluation will look at the extent to which the conditions and incentives are present for high quality scientific output and will assess the processes for selecting research priorities and for assuring quality, the quality of the research inputs, the quality of the research outputs as well as perceptions of quality.

- Does L&F as a research program provide an adequate framework for delivering high quality research?
- Are the research outputs, such as publications, of high quality?
- Do the produced research outputs increase the likely effectiveness of L&F?

Effectiveness

Effectiveness refers to the extent to which the outputs and outcomes of L&F have been achieved, or are expected to be achieved, taking into account the exploratory nature and risks inherent to research.

In order to be able to assess the likely effectiveness of L&F, the evaluation will assess the Program's Theory of Change, and the validity of its logics and key assumptions on the change process.

- To what extent does the L&F Theory of Change provide an adequate framework for effective program delivery?
- To what extent were the planned outputs and outcomes achieved or are likely to be achieved?
- If there were differences in the performance of different types of program activities (Flagships) what caused them and what lessons can be learned from this?
- What kind of factors influenced L&F's implementation positively or negatively?

The evaluation will also seek to infer lessons from the results of the transferred activities.

- What factors have been influencing the achievement or non-achievement of these activities?
- How have the activities' objectives and strategies evolved, if they have, in response to (a) learning from experience, and (b) emerging risks and opportunities?
- Are there any activities that should be modified, discontinued, or added to the current portfolio in order to achieve the program's overall objectives?

Impact

Impacts in the context of L&F refer to the development outcomes (IDOs) which have been achieved as a result of continuing research as well as to the potential for scaling up of current program results. This evaluation will not be undertaking detailed impact assessments of individual activities or clusters of activities as this term is understood in the CGIAR as ex post studies that use specialized quantitative

methods to estimate the changes in which selected development parameters are attributable to defined research activities or programs. Such studies require dedicated budgets and timeframes that this evaluation does not have. To the extent that such studies are available, the evaluation will use impact assessments to make an overall judgment on achieved impacts from past and continuing research. The evaluation will also examine the extent to which L&F addresses the challenges of linking research outputs to development outcomes—and of scaling out promising results for greater impact.

- To what extent has past continuing research achieved impacts which have been adequately carried on within the program?
- To what extent does L&F's Theory of Change adequately address the challenge of scaling up research outputs generated by the program?
- What is the potential to scale up research outputs generated in the selected value chains?

Sustainability

Since L&F only started 2 ½ years ago, sustainability will look at the likelihood that actual and anticipated results will be sustained beyond L&F's lifetime:

- To what extent have results from past research been sustained and can be sustained in the future?
- To what extent did L&F anticipate the challenges of sustainability and try to mitigate them by clearly introducing the concept of continuity in program design and implementation? Did it take institutional and human resource capacity of beneficiary countries into account?

4.2. Cross-cutting issues

Partnerships

For L&F partnerships are forming the core of innovation systems in which the program works (Research Proposal 2011). L&F defines its partners as strategic program partners and value chain partners, which are located at grassroots level and are people and organizations who work within the value chain, including farmers, processors and traders.

A Development Partnerships Strategy was drafted in December 2013 and outlines the main activities for 2014 and 2015 with regards to partnerships for L&F¹³. The evaluation will ask the following question:

- To what extent is the L&F partnerships strategy well designed to foster connectivity between multiple actors within value chain systems, and at more strategic levels?
- To what extent do L&F's partnerships increase the effectiveness of the program?
- To what extent are L&F's partnerships cost-effective, and thus the resources put into partnerships are adding value?
- To what extent can partners upscale research findings of L&F?
- To what extent are the L&F's partnerships likely to increase the sustainability of the program?

¹³ Development Partnerships Strategy (Stuart Worsley) – Draft December 2013

Capacity development

L&F works with a variety of actors within the selected value chains of which some lack know-how on technologies or lack organizational capacity to effectively engage in the innovation platforms formed around them. Capacity development can range from training of smallholder farmers to institutional capacity building.

- Do the L&F activities around capacity development respond to identified gaps?
- Has L&F focused its work where it has a comparative advantage in capacity development support?
- To what extent do L&F's capacity development activities increase the effectiveness of the program?
- To what extent are L&F capacity development activities likely to increase the sustainability of the program?

Gender

L&F aims to integrate gender in its work on technology development, delivery systems and value chain development. The gender strategy which was published by L&F in July 2013 (inspired by ILRI's work on gender as well as the CRP on Aquatic Agricultural Systems) approaches gender as both a research component of the program as well as a cross-cutting thematic area which informs other Research Themes.¹⁴ The strategy distinguishes between gender accommodating approaches and gender transformative approaches and defines four types of outputs: Gender capabilities across systems actors, Gender and value chains, Gender and society, Gender and consumption.

In line with the L&F gender strategy, the evaluation will treat gender as a research theme and thus part of the research outputs and outcomes (treated in the section on research performance), as well as follows:

- How relevant are the approaches (research theme versus cross-cutting issue) suggested by the L&F gender strategy?
- To what extent has gender been mainstreamed within L&F?
- To what extent has research on gender specific issues yielded results? Are those results being used by other research themes?
- To what extent has L&F achieved or is likely to achieve the outputs and outcomes suggested in its gender strategy?

4.3. Organizational performance

Governance and management

Governance and management are both a means and an end, as they can not only increase the efficiency and effectiveness of a program, but also can be assessed with regards to criteria such as legitimacy, accountability, transparency and fairness.¹⁵

¹⁴ See CGIAR Research Program on Livestock and Fish. 2013. *Gender strategy of the CGIAR Research Program on Livestock and Fish*. Nairobi, Kenya: ILRI.

¹⁵ See the IEG/DAC 2007 *Sourcebook for Evaluating Global and Regional Partnership Programs (GRPPs)*

- Do the governance and management arrangements and functions conform to the program partnership requirements of independence, accountability, transparency, legitimacy and fairness?

Efficiency and cost-effectiveness

Efficiency is the extent to which the program has converted or is expected to convert its resources/inputs (such as funds, expertise, time, etc.) economically into results. In the research context, the assessment of efficiency refers to the activities and outputs that are under the control of the research program, and takes into account the exploratory nature and risks inherent to research. **Cost-effectiveness** is the extent to which the program has achieved or is expected to achieve its results at a lower cost compared with alternatives. Shortcomings in cost-effectiveness occur when the program is not the least-cost alternative or approach to achieving the same or similar outputs, outcomes and impacts.

- To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency?
- Are the L&F institutional arrangements (including governance and management) cost-effective?

5. Evaluation approach and process

5.1. Approach and methodologies

Given the long history of research on livestock and fish in the CGIAR, on which the CRP builds, and the early phase of the implementation of the CRP, the evaluation will combine both **summative** and **formative** components in its approach. The former will look at achievements regarding results so far, particularly from research that continues from the past. It will draw, to the extent possible, on existing studies, adoption and impact assessments, records and other data for conducting meta-analysis of available evaluative information and estimating the achievements from past research. This approach will be complemented by other means such gathering perception information during site visits and stakeholder interviews.

Stronger emphasis will be on learning and the forward-looking aspects of the evaluation. It will review, inter alia, relevance, program design and processes, progress made so far towards results, gender mainstreaming, governance and partnership aspects as well as other new modalities of work introduced with the Reform. For instance approaches will be selected that use benchmarking with other comparable programs, lessons and good practices in research and management established elsewhere, and information from primary contacts.

The evaluation process will be **participatory** and **forward looking** to 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 will 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. The main phases of the evaluation are described below.

5.2. Evaluation Phases

Preparatory phase

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

The IEA will carry out the following tasks:

- finalize the Terms of Reference (TOR);
- collect preliminary information;
- compile an inventory of projects associated with each of the L&F research themes;
- identify existing evaluation material relevant to the work carried out under L&F;
- set up a Reference Group for the evaluation; and
- select the evaluation team leader and in consultation with her/him, the evaluation team.

Inception phase

The inception phase is the responsibility of the Evaluation Team with support from the IEA. The evaluation's scope, focus, approaches and methods, and the evaluation questions in detail will be defined during the inception phase. The tasks during the inception phase include:

- A review and synthesis of monitoring and reporting information pertaining to L&F
- An evaluability assessment of the Program, including the extent to which the ToC constitutes an adequate framework for the evaluation;
- Development of an analytical framework for the assessment of L&F research
- Refinement of the evaluation questions and design of the evaluation matrix that identify means of addressing the questions, including an outline of the data collection methods/instruments;
- Detailed specification of the evaluation timetable which includes travel plan of the team (site and center visits as well as other travel);
- Development of indicative evaluation report outline and division of roles and responsibilities among the team;

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

Inquiry phase

The Evaluation will build on the preliminary analysis 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 will be both quantitative and qualitative, and may include the following:

- **Documentation Review**
- **Expert and stakeholder interviews using visits or phone/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 L&F researchers, partners, selected policy-makers, other intended main beneficiaries and leading international experts to obtain their views, e.g. on the relevance of research, likely impacts and quality of partnership management.
- **Portfolio analysis** to “unpack” the various components and levels at which L&F works and to assess coherence and also identify gaps
- **Analysis of a sample of research projects** to assess how well activity objectives match with the overall program objectives and Flagship/cluster of activity
- **Field visits** to ILRI, other participating centers (as deemed relevant) and to selected program sites, e.g. to assess quality of cooperation and leadership, collect information and deepen understanding of issues covered through desk review. Given the number of participating Centers, the Evaluation Team will use the opportunity of L&F Management meetings and other L&F meetings to ensure access to the highest number of stakeholders.
- **Case studies** of purposive samples of value chain and research theme activities, selected according to such criteria as funding, geographical zone, partnerships, maturity.

5.3. Main limitations and constraints of the Evaluation

Due to the limited time that the CRP has been in operation, the evaluation covers only a relatively short period for assessing program performance and achievements to-date. The evaluation’s ability to assess achievements and impacts from past research relevant to the current CRP may be limited by the lack of evaluative information across program areas. The size and geographic spread of the CRP may limit the scope of the evaluation which will need to select suitable methods to assess the CRP for example, through representative sampling.

6. Organization and timing of the Evaluation

6.1. Evaluation team qualifications

The Evaluation Team Leader will have solid experience in leading complex evaluations and will be supported by a team of experts who will have between them extensive and proven experience at international level, working for international and development agencies, on issues, programs and policies related to L&F’s activities.

The Team is likely to include in addition to the Team Leader, a small group of experts who can adequately cover between them:

- value chain economics
- animal sciences and aquaculture (also genetics aspects)
- animal health (mostly for livestock)
- nutrition/feed and forages

In addition the team will have competence to assess:

- program governance, organization and management, including financial management;
- sociological and gender dimensions;
- capacity building;
- innovations systems, evaluation and learning, and systems analysis
- institutional and policy analysis in the context of development;
- research planning, methods and management;

- communications and partnership.

6.2. Evaluation governance/roles and responsibilities

The Evaluation will be conducted by a Team of **Independent External Experts**. The Team Leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards. The Evaluation Team is responsible for submitting the deliverables as outlined in more detail below.

The IEA will be responsible for planning, designing, initiating, and managing the evaluation. The IEA will also be responsible for the quality control of the evaluation process and outputs, and for the dissemination of the results. The IEA will take an active role in the preparatory phase of the evaluation by collecting background data and information and by carrying out preliminary analysis on L&F. An Evaluation Manager, supported by an Evaluation Analyst, will provide support to the team throughout the evaluation.

A **Reference Group** will be set-up to work with the IEA Evaluation Manager to ensure good communication with, learning by, and appropriate accountability to primary evaluation clients and key stakeholders, while preserving the independence of evaluators. The Reference Group can be thought of as a 'sounding board', giving views and inputs at key decision stages in the evaluation design and implementation process. The Reference Group may also play an important role in leading evaluators to key people and documents. It will be composed of six to eight representatives of L&F stakeholders and chaired by the IEA Head. The Group is expected to meet three to four times during the evaluation process to review and debate draft documents and to provide comments at key stages of the evaluation, in particular on the evaluation questions, the TOR, the inception report, and any major case study reports as well as the draft final report.

L&F management plays a key role in catering for the evaluation team's needs information on the CRP throughout the evaluation process. It provides documentation and data, information on all L&F activities, access to staff for engagement with the evaluators, and information on partners and stakeholders. It facilitates arrangement of site visits and appointments within the lead Center and other stakeholders. L&F management is also responsible for giving factual feed-back on the draft evaluation report and preparing the management response to the final report. It assists in dissemination of the report and its finding and lessons and it acts on the accepted recommendations. While the evaluation is coordinated with the CRP management, ILRI as the lead Center is a key stakeholder in the evaluation. It hosts the visits to the Center and its leadership and Board are expected to make themselves available for consultations during the evaluation process.

6.3. Quality Assurance

In order to ensure evaluation rigor, the following quality assurance will be implemented during the evaluation exercise.

The IEA, as manager of the Evaluation, will play a crucial role in assuring its quality. The IEA will work closely with the Evaluation Team throughout the evaluation, and will ensure that the tools and methodologies, as well as the process followed, are in line with the CGIAR Evaluation Policy and Standards.

Two Senior External Evaluation Experts will peer-review for the IEA the evaluation at different milestones in the process, including the inception report and draft evaluation report.

6.4. Timeline

Table 3: Evaluation Timetable and Tentative Deliverables

Phase	Period	Main outputs	Responsibility
Preparatory Phase	Jul – Sep 2014	Final ToR Evaluation team recruited	IEA
Inception Phase	Oct 2014 - Jan 2015	Inception Report	Evaluation team leader with support from IEA
Inquiry phase	Feb – Aug 2015	Center and field visits Data collection and analysis Desk review, quality of science analysis Structured interviews and focus groups Portfolio and matching analysis	Evaluation team with support from IEA
Presentation of preliminary findings	Sep 2015	Presentation of preliminary findings Feedback from main stakeholders	Evaluation team IEA
Reporting phase	Sep-Dec 2015		
Drafting of Report	Aug-Sep 2015	Draft Evaluation Report	Evaluation team
Feedback on draft report	Nov 2015	Feedback and comments	L&F Management and other stakeholders
Final Evaluation Report	Dec 2015	Final Evaluation Report	Evaluation team
Management Response	Jan 2016	Management Response	L&F Management
Dissemination phase	From Jan 2016	Communications products	IEA Team leader L&F Management

6.5. Key deliverables and dissemination of findings

The **Inception Report**: the Inception Report, which builds on the original terms of reference for the evaluation, outlines the Team’s preliminary findings, as well as the proposed approach to the main phase of the evaluation. It constitutes the guide for conducting the evaluation, by (i) outlining the scope of the evaluation; (ii) providing a detailed evaluation matrix; (iii) clarifying the analytical frameworks which will be utilized by the evaluation; (iv) developing the methodological tools, and (v); providing a detailed work plan for the Evaluation.

The **Evaluation Report** - the main output of this evaluation - will describe findings, conclusions, and recommendations, based on the evidence collected in the framework of the evaluation questions defined in the Inception Report. The recommendations will be evidence-based, relevant, focused, clearly formulated and actionable. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings and recommendations will be summarized in an executive summary.

Presentations will be prepared by the Team Leader for disseminating the Report to a targeted audience. A dissemination strategy will be developed during the inception phase.¹⁶

Several events will be organized to disseminate the evaluation results, including but not limited to:

- Webinars with L&F management and staff at the end of the Evaluation Team Meeting to present preliminary findings (July 2015);
- Presentations of the Draft Report to L&F Reference Group, L&F governance Bodies; ILRI Management and Board; Consortium (November 2015);
- Presentation of the Final Report to the Evaluation and Impact Assessment Committee (EIAC) and the Fund Council (Dec 2015).

6.6. Feedback and Responses to the Evaluation

Adequate consultations with L&F stakeholders will be ensured throughout the process, with debriefings on key findings held at various stages of the evaluation. The final report will be presented to key CGIAR stakeholders. Following this, the IEA will interact with the management of L&F during the preparation of the management response.

L&F Management will prepare a response to the evaluation for the consideration of the Consortium Board. The Management Response will contain both an overall response to the evaluation, as well as response by recommendation—addressing each recommendation in the order presented in the Evaluation Report. The **Consortium** (Consortium Office, with approval of the Consortium Board) will review the Evaluation Report and L&F Management Response and provide their response on the Evaluation Report recommendations, Management Response and Action Plan.

The Final Evaluation Report, L&F Management Response and the Consortium Board Response will be considered by the **Fund Council Evaluation and Impact Assessment Committee** (EIAC). As the final step of the Evaluation Report process, the Fund Council will consider the findings and recommendations of the Evaluation Report and the answers of the L&F Management Response and Consortium Board Response, then provide decision support and endorsement of the evaluation, responses, action plans and proposed follow-up.

¹⁶ See also the IEA document: CRP Evaluation: Process for Finalization, Feedback and Decision-making