

# TERMS OF REFERENCE

for the evaluation of the  
CGIAR Research Program on Policies,  
Institutions and Markets to strengthen Food  
Security and Incomes for the Rural Poor  
(PIM)



Independent  
Evaluation  
Arrangement

## 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])<sup>1</sup>, strategic objectives and results in terms of outputs and outcomes. The SRF was first approved in 2011 and is in the process of being updated. Currently the CGIAR's research agenda is implemented by the CGIAR 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 Fund<sup>2</sup> and bilateral funding to Centers. In the SRF Management Update, forthcoming in 2014, a set of Intermediate Development Outcomes (IDOs) linked to the high level impact goals will be defined to form the operational results framework for the CRPs.

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 Policy<sup>3</sup> 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 Policies, Institutions, and Markets (PIM) is planned to be evaluated in 2014. The lead center, the International Food Policy Research Institute (IFPRI), which has a major proportion of its activities within PIM, has not been subject to an EPMR since 2004. Also, PIM has a large number of Center partners (eleven) and can also make a thematic contribution to all the other CRPs.

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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.

<sup>3</sup> [http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR\\_evaluation\\_policy\\_jan2012.pdf](http://www.cgiarfund.org/sites/cgiarfund.org/files/Documents/PDF/CGIAR_evaluation_policy_jan2012.pdf)

Finally, the Program is expected to benefit from an evaluation that is looking at the way the CRP is bridging the past into a new programmatic and partnership agenda.

### 1.2. Overview

*Policies, Institutions and Markets* is led by IFPRI and implemented with the participation of 11 CGIAR Centers. After the Climate Change, Agriculture and Food Security (CCAFS), PIM (together with Water, Land and Ecosystems) is the CRP that involves the largest number of Centers. The total budget proposed for the first three years of implementation was USD 266 million.

PIM's strategic goal is to "identify and promote implementation of policies, institutions, and markets to improve food security and incomes of the rural poor on a sustainable basis". The core work of PIM is to develop **tools, datasets, methods, and models to provide analytical foundations for policy analysis, and to apply these tools to inform policy choices**. The CRP aims to bring together policy-oriented research carried out across the CGIAR Centers in order to achieve greater impact. Therefore, both internal and external partnerships are a crucial element in the CRP. A large majority of partners comes from research (National Agricultural Research Systems [NARS], Research Institutes and Academia). Government organization, regional organizations, Non-Governmental Organizations (NGOs) and Development Agencies constitute also important channel for implementation, outreach and communication.

PIM was launched in January 2012 after the proposal was submitted twice and requests for changes were made by the Independent Science and Partnership Council (ISPC). In July 2011 the Fund Council approved the proposal under the condition that the proposal be revised (and re-submitted for a virtual "no-objection" approval by the Fund Council) to address ISPC comments. The latter related to greater clarification of the problems PIM aims to address, PIM's comparative advantages, value-added of PIM relative to existing work and the need for a clearer description of impact pathways and outcomes.

PIM's activities were originally grouped under three broad thematic areas: effective policies and strategic investments, inclusive governance and institutions, and linking smallholders to markets. However, the approval of PIM came with the recommendation that the CRP be restructured, with a greater focused emphasis on impacts. Accordingly, the PIM management team developed a new structure which groups the research work into streams addressing particular development problems. The result was the establishment of eight Flagships<sup>4</sup> – each with its own cluster of activities: Foresight Modelling, Science Policy and Incentives for Innovation; Adoption of Technology and Sustainable Intensification; Policy and Public Expenditure; Value Chains; Social Protection; Natural Resources Property Regimes; and Cross-cutting Gender, Partnerships, and Capacity Building.

Each Flagship responds to an identified problem statement, and is linked to indicators that measure progress towards the achievement of the IDO they are aiming to reach. Each Flagship Project conforms to the generic impact pathway for PIM, but has its own causal links and loops between analytical effort and objectives, outputs, outcomes, and intermediate progress benchmarks. All bilateral activities have been mapped to the appropriate cluster and all sources of funding have been folded into an integrated understanding of the portfolio.

PIM produces three main product lines :

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<sup>4</sup> The Program flagships and main highlights are described in the following publication: "Policies, Institutions and Markets: the First Eighteen Months" (2013) IFPRI, Washington, DC, USA.

- 1) evidence-based research that sets agendas, clarifies trends and identifies issues requiring attention of the global community;
- 2) new knowledge, metrics, models, data, and tools used in program and policy decision-making processes for governments, NGOs, private sector, and academicians;
- 3) location-specific analysis relevant to policy decisions in specific jurisdictions results from these analyses synthesized for global public goods.

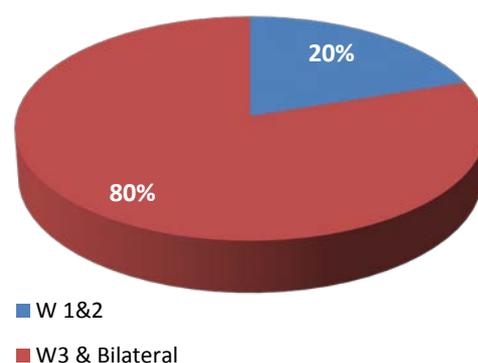
PIM mainly achieves impact by influencing decision processes that determine policy outcomes. Research results disseminated among key stakeholders are supposed to create increased awareness that, through the policy process, should shape actionable instruments for achieving change. These instruments are decisions on the magnitude and composition of public spending, design of programs, and adoption or repeal of legislation and regulations.

PIM builds largely onto legacy projects, in some of which gender mainstreaming was already strongly established, especially in value chains and social protection. Integration of gender has been an integral part of PIM since its beginning, and every PIM-funded activity is asked to state what it is doing on gender. PIM's gender strategy, approved in March 2013, foresees the development of guidelines for collecting and analyzing data so as to make all datasets useful for gender analysis. The percentage of resources allocated to gender research is conservatively estimated at 7 percent of the 2013 plan of work and budget and 13 percent of the 2014 plan of work and budget<sup>5</sup>.

### **Budget and Expenditures**

PIM's resources are mobilized from several sources and used by the participating Centres and external partners. Bilaterally sourced funds result from contractual commitments between a donor/funder and an individual Centre, and do not flow through the common funding channels of CGIAR. As shown in Figure 1, in 2012 about 80% of PIM's funds came from bilateral sources, while the remaining 20% came from windows 1 and 2 of the CGIAR Fund. The allocation of the PIM budget is uneven between the different participating Centers (Figures 2 and 3). IFPRI's share is approximately  $\frac{1}{4}$  of the total, and just under 60% of the windows 1 and 2 funding.

**Figure 1** PIM's 2012 Expenditure by Funding Source



<sup>5</sup> CGIAR Consortium, *Assessment of the Status of Gender Mainstreaming in CGIAR Research Programs*, July 30 2013

Figure 2 PIM's Expenditures in 2012

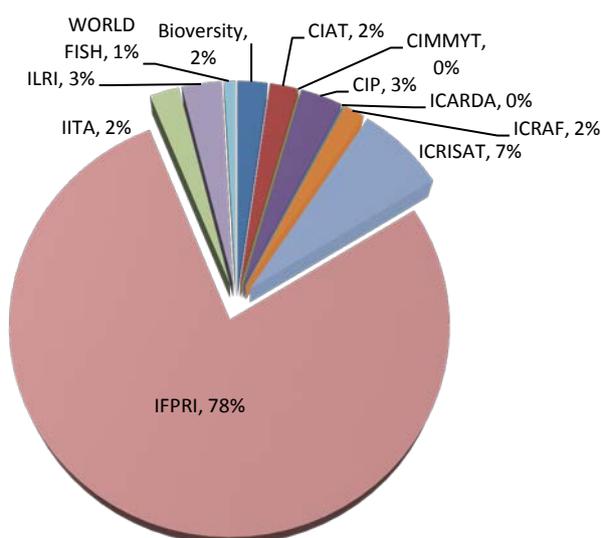
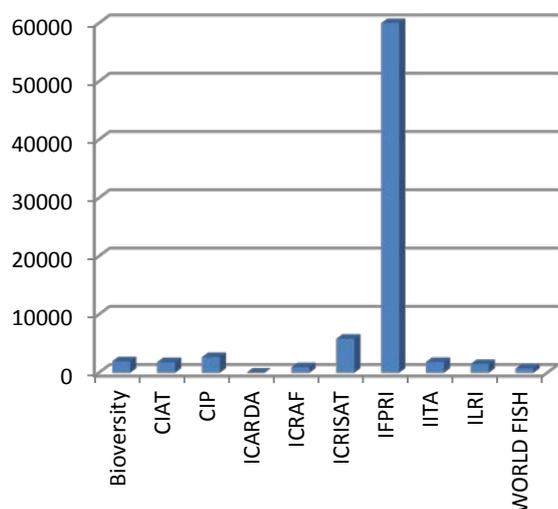


Figure 3 Distribution of PIM Budget in participating Centers

Table 1 - PIM Planned Budget for 2014 (in USD)

Flagship #	Flagship title	TOTAL	W1-2	W3/bilateral
1	Foresight modelling	6,620,238	4,661,061	1,959,177
2	Science policy and incentives for innovation	6,373,314	507,560	5,865,754
3	Adoption of technology and sustainable intensification	8,297,936	2,882,221	5,415,715
4	Policy and public expenditure	40,803,086	5,772,540	35,030,546
5	Value chains	8,403,782	4,768,121	3,635,660
6	Social protection	4,553,080	2,001,871	2,551,209
7	Natural resource property regimes	4,531,024	1,748,953	2,782,071
8	Cross-cutting gender, partnerships and capacity building	1,408,635	564,401	844,234
Undetermined or no flagship (eg: management, unassigned...)		12,442,285	4,030,323	8,411,962
		<b>93,433,379</b>	<b>26,937,051</b>	<b>66,496,328</b>

## Terms of Reference, CRP on PIM, Draft 27 Feb 2014

PIM's Governance and Management Structure is described in the Table below.

<b>Governance Structure</b>	
<b>IFPRI Board of Trustees</b>	<p><b>Functions:</b></p> <ul style="list-style-type: none"> <li>responsibility for governance of IFPRI and the two CRPs it leads PIM and A4NH.</li> </ul>
<b>Science and Policy Advisory Panel</b>	<p><b>Function:</b></p> <ul style="list-style-type: none"> <li>independent advice to the Management Committee and the IFPRI DG on strategic directions, research program, research priorities and focus, and relevant management and partnership issues, including incentives</li> <li>provide independent advice to the IFPRI Board through the DG</li> </ul>
<b>Management Arrangements</b>	
<i>Host/ lead center</i> <b>IFPRI</b>	<p><b>Function:</b></p> <ul style="list-style-type: none"> <li>responsibility for governance, intellectual, and fiduciary oversight and financial management of the main performance contract for the CRP</li> </ul>
<b>Management Committee</b>	<p><b>Main Functions:</b></p> <ul style="list-style-type: none"> <li>coordinate strategic foresight, planning, and reporting of the full research portfolio;</li> <li>prepare the five-year and annual work plans with the Management Committee and the theme leaders;</li> <li>prioritize research activities</li> <li>advise on the allocation of resources</li> <li>interface between PIM and the Consortium Board and Fund (budgets, contracts, and financial reporting);</li> <li>manage the monitoring and evaluation program</li> <li>ensure quality control of the research program under PIM.</li> </ul>
CRP Leader <b>Director</b>	<p><b>Function:</b></p> <ul style="list-style-type: none"> <li>responsible for overall management of PIM</li> </ul>
<i>Management Unit</i> <b>Program Management Unit (PMU)</b>	<p><b>Function:</b></p> <ul style="list-style-type: none"> <li>assist the Director and Program Management Committee</li> </ul> <p><b>Composition:</b></p> <ul style="list-style-type: none"> <li>Senior program manager</li> <li>Senior administrative coordinator/Contracts and grants administrator</li> <li>Senior Research Assistant, Gender</li> <li>Communications Specialist II</li> <li>Senior Research Fellow (open position)</li> </ul>
<b>PIM Focal Points</b> Designated by each participating center	<p><b>Function:</b></p> <ul style="list-style-type: none"> <li>coordinating and facilitating interactions between the PIM Management and their center regarding PIM activities</li> <li>accountable both to their center management and to PIM management.</li> </ul>

## 2. Evaluation Focus

### 2.1. Evaluation purpose and clients

The principal purpose of this evaluation is to enhance the contribution that PIM is likely to make to reaching CGIAR goals and to identifying and promoting implementation of policies, institutions, and markets to improve food security and incomes of the rural poor on a sustainable basis.

As all CRP evaluations, the purpose of the evaluation of PIM is to provide essential evaluative judgments for 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 evaluation. The IEA agreed to conduct up to ten CRP evaluations in support of this process. In that context, the evaluation of PIM 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 PIM, 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 PIM, all participating Centers, partners associated to the Program, the CGIAR Fund Council, and the Consortium Board (see Table below for a full list of stakeholders). Stakeholders will be consulted throughout the evaluation through structured interviews, surveys, site visits, and reference group for some of them.

**Table 2: CRP evaluation stakeholders**

Type of stakeholder	Role in CRP	Interest in evaluation
<b>CRP level</b>		
CRP management	Management of CRP	Lessons learned to increase performance of CRP
CRP governance committee	Oversight of CRP Strategic advice for CRP	Accountability CRP performance Lessons learned about effectiveness of Governance committees
CRP Researchers	Carry out research in line with CRP IDOs	Research performance
<b>Center level</b>		
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 of participating centers	Oversight of CRP activities carried out by its center	Organizational performance Comparative advantage
<b>CGIAR level</b>		
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.
<b>Partners</b>		
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

## 2.2. Evaluation scope

The evaluation will cover all research activities of PIM and all processes related to its implementation. **Research covered by the evaluation is restricted to projects mapped to PIM.** To this end, it is important to bear in mind that – while some PIM research projects are fully funded through the unrestricted funding channels (Windows 1 and 2) – most PIM projects are based on project-specific bilateral grant contracts between the implementing centers and donors that effectively bypass those unrestricted channels. Delineating the evaluant (“PIM”) will be part of the preparatory work carried out by the IEA in collaboration with the CRP staff.

Even though PIM started in January 2012, some of the research carried out by Centers which is now included under the PIM umbrella, has been ongoing for a number of years. PIM’s work on Biosafety for example (Flagship 2) has been ongoing for about ten years. It is therefore important that the evaluation looks also at the maturity of research inherited from the past. Clarity on the extent to which PIM contains “transferred” research from new lines of research is part of the evaluation preparatory work.

The evaluation is being undertaken at a time when the CRP has finished setting up its management and governance structure and is completing the design of its program in accordance with the guidance from the CGIAR Consortium Office and within the context of the SRF. This includes defining program theories and impact pathways for the key components of the CRP, description of the IDOs, target achievement goals for the medium-term (about ten-year time span), agro-ecologies and beneficiary groups for them and indicators for progress and results.

The evaluation will therefore cover two different timeframes. When assessing research performance, the evaluation will look at research work from the past that is still ongoing. Thus in assessing research performance, particular emphasis will be given to PIM research pipeline, where results maturing to research and development outcomes and impacts can be expected. Organizational performance on the other hand, which will cover areas such as program structure, governance and management arrangements, as well as partnerships will be evaluated from the beginning of the PIM, i.e. from 2012.

As the PIM CRP was formally launched only in 2012, the dimension of this evaluation, that will focus on the new programmatic approach, is a formative and process-oriented, and will be undertaken to enhance the relevance and efficiency of PIM and the likelihood of its effectiveness in contributing to the CGIAR SRF vision, SLOs and outcomes as defined in the results framework.

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

The strategic issues and evaluation questions are structured around two dimensions: Research/programmatic performance and Organizational performance.

### Research/programmatic performance:

The PIM evaluation will have its focus on two time frames:

- the results – outputs, outcomes and impacts – generated from research prior to establishment of PIM and filling the results pipeline also into the future for some time; and
- the two year period during which PIM has been set up as a multi-partner CRP with newly defined program structure, targets and impact pathways.

The evaluation of programmatic performance will address all the evaluation criteria presented below.

The evaluation will look at the process 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 will look at the validity of the assumptions underlying the program theory for impact and the research hypotheses related to those assumptions.

The evaluation will examine the extent to which the challenges for linking research outputs to development outcomes and scaling up 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.

### **Organizational performance**

The evaluation organizational performance will primarily pertain to aspects of efficiency and effectiveness with focus on CRP design, structure and processes from the organizational and 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 organizational effectiveness, management structure, system, partnership management and transaction costs; resource allocation and fund distribution between institutions and program components, and alignment of different funding with program objectives; adherence to legal arrangements, including the appropriateness of IP management and System-level obligations; and organizational learning for improving likely efficiency and effectiveness.

## 3. Evaluation Criteria and Questions

### 3.1. Evaluation Criteria

The evaluation will address the six evaluation criteria; relevance, efficiency, effectiveness, impact, sustainability and quality of science through a set of evaluation questions. 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 relevant stakeholders.

### 3.2. Evaluation Questions

#### Relevance

##### *Coherence*

- Is PIM strategically coherent and consistent with the main goals and SLOs presented in the CGIAR's SRF?
- To what extent are bilateral-financed projects aligned with the program strategy?
- How well the CRP objectives and impact pathways respond to the needs of intermediary users and ultimate beneficiaries of the CRP research products?

##### *PIM's comparative advantages*

- What is PIM's comparative advantage in addressing specific development issues through research on policies, institutions and markets? How does PIM compare to alternative suppliers?
- To what extent does PIM capitalize on the comparative advantages of its participating Centers and key partners?
- How does PIM link with other CRPs' policy research?
- To what extent does systematic prioritization, planning and reprogramming take place in line with resource availability?

##### *Program design and cohesion*

- Does the program have impact pathways for each of its principal activities and outputs linking them with PIM's IDOs?
- What is the rationale supporting the seven PIM flagships? What is the articulation between them?
- Is the overall coverage of research objectives adequate? What about gaps and overlaps as well as the segmentation of research into components or flagships?

- To what extent have process and analysis in the development of impact pathways been rigorous, including the plausibility of linkages between outputs and outcomes to the IDOs and beyond towards the SLOs?
- Have constraints to outcomes and impacts been considered in the program design, for example through assessment of the assumptions and risks in reliance on policies, actions of national institutions, capacity and partnerships?

### Efficiency

- Are PIM institutional arrangements effective and efficient? This question will address the following issues:
  - the appropriateness of the present governance and management structure and functions;
  - changes and value-added brought about by the CRP structure relative to the previous programs, including organizational effectiveness, management structure and system, partnership management;
  - administrative procedures with particular attention to the dichotomy between Center-level and CRP-level systems and procedures;
  - realism in budgeting, appropriateness of fund distribution between institutions and programs as well as issues of fund availability and transaction costs resulting from the new CGIAR structure and ways of working.
- Are the facilities and services used efficiently and are there areas where efficiency could be improved, for instance through outsourcing?
- To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency?

### Quality of Science

- Does the research design, problem setting and choice of approaches reflect high quality in scientific thinking, state-of-the-art knowledge and novelty in all areas of research?
- Is it evident that the program builds on the latest scientific thinking and research results?
- Are the internal processes, conditions and incentives, including research staff and leadership quality, adequate for assuring science quality?
- Are the research outputs, such as publications, of high quality?

### Effectiveness, impact and sustainability

- To what extent were the planned outputs and outcomes achieved or are likely to be achieved?
- Have ex-post studies yielded lessons regarding constraints to impact and have these been taken into account in program design?
- Are the challenges for linking research outputs to development outcomes and scaling up promising results adequately addressed in the program?

### 3.3. Cross-cutting issues

#### Partnership

The evaluation will consider the partnerships among the implementing centers, linkages with other CRPs and partnerships with both research and development partners as well as boundary partners upon whom the development outcomes depend.

*Relevance:*

- To what extent are the partnerships chosen relevant to achieve program objectives?

*Efficiency and effectiveness:*

- What are the effectiveness and efficiency of past and current partnerships?
- In particular, to what extent are internal partnerships with other centers efficient and effective?

#### Gender

The evaluation of gender pertains particularly to:

*Relevance:*

- To what extent is gender analysis incorporated into research design in terms of relevance to and effect on women?

*Effectiveness and impact:*

- Are there accountability mechanisms to implement and manage mainstreaming?
- Is gender adequately integrated into PIM's monitoring system?
- Is gender adequately integrated into reporting?

#### Capacity building

The evaluation of capacity building will address particularly:

*Relevance:*

- To what extent do capacity building efforts address partners' needs?

*Effectiveness and sustainability:*

- To what extent are capacity issues taken into account in the impact pathway analysis?
- Are capacity building efforts integrated with the research mandate and delivery of the CRP?
- Are the capacity building efforts and incentives among partners adequate for enhancing the long-term sustainability of program effects?

## 4. Evaluation approach and methodology

### 4.1. Approach and Methodologies

Given on one hand the history of policy research in the CGIAR, on which the CRP builds, and on the other hand the early phase of the implementation of the CRP, the evaluation will combine both summative and accountability oriented and formative and forward-looking 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.

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

The evaluation process will 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. The main phases of the evaluation are described below.

### 4.2. 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 seven PIM flagship projects;
- identify existing evaluation material relevant to the work carried out under PIM;
- 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:

- review and synthesis of monitoring information pertaining to PIM, including: (i) information derived from the CRP's monitoring and evaluation system; (ii) impact assessments; (iii) management related materials;
- development of an analytical framework for the assessment of PIM research using the CRP ToCs if appropriate;
- refinement of the evaluation questions and an evaluation matrix that identify means of addressing the questions, including an outline of the data collection methods/instruments;
- detailed specification of the evaluation timetable which includes plan for site visits;
- indicative evaluation report outline and division of roles and responsibilities among the team;
- preliminary list of strategic areas of importance prioritized for emphasis in the course of the inquiry phase.

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

### **Conduct of evaluation** *(this section will be further refined in the final version of the ToRs)*

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

- **Expert and key 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 PIM 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.
- **Visits to IFPRI and to selected participating Centers**, 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 PIM Management meetings and other PIM meetings to ensure access to the highest number of stakeholders.
- **Case studies** of purposive samples of research, selected according to such criteria as significance of the issue, length of time the research has been ongoing and resources committed to it. Case studies can be used to explore such questions as: how cross-cutting themes have been addressed, study the quality of impact pathways, and scoring/ranking research quality sampled research using explicit criteria.

### 4.3. Quality Assurance

In order to ensure technical rigor to the Evaluation, the following quality assurance mechanisms 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.
- Quality Assurance Advisory Panel: as per Evaluation Policy, two Senior Evaluation Experts will peer-review the evaluation at different milestones, including terms of reference, inception report and evaluation report.
- Expert Review: the quality of the evaluation, including the technical soundness of the evaluation findings will be submitted for review by external and independent experts in the research areas relevant to PIM.

### 4.4. Main limitations and constraints of 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 impact 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.

## 5. Organization and Timing of the Evaluation

### 5.1. 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 PIM'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:

- policy and public expenditure;
- foresight modeling / econometrics/ modelling applied to agriculture;
- impact assessment (using quantitative methods – RCT etc.);
- value chains;
- science policy and incentives for innovation;
- issues related to safety net programs and social protection;

- natural resource property regimes.

In addition the team will have competence to assess:

- program governance, organization and management, including financial management;
- sociological and gender issues;
- capacity building issues;
- institutional and policy analysis in the context of development;
- research planning, methods and management;
- communication and partnership.

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

### 5.2. 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 PIM. 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 PIM 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.

**PIM 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 PIM 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. PIM 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, IFPRI 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.

## 5.3. Timeline

**Table 3: Evaluation Timetable and Tentative Deliverables**

Phase	Period	Main outputs	Responsibility
<b>Preparatory Phase</b>	Dec 2013 – March 2014	Final ToR Evaluation team recruited	IEA
<b>Inception Phase</b>	April 2014	<b>Inception Report</b>	Evaluation team
<b>Inquiry phase</b>	May 2014 – Nov 2014	Various reports and analysis products as defined in inception report	Evaluation team
<b>Reporting phase</b>			
Drafting of Report	Nov - Dec 2014	<b>Draft Evaluation Report</b>	Evaluation team
Presentation of preliminary findings	Jan 2015	Presentation of preliminary findings Feedback from main stakeholders	Evaluation team IEA
Final Evaluation Report	Jan 2015	<b>Final Evaluation Report</b>	Evaluation team
Management Response	Feb 2015	Management Response	CRP Management
<b>Dissemination phase</b>	Feb 2015	Communications products	IEA Team leader CRP Management

## 5.4. 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. The exact forms of these presentations will be agreed during the inception phase.

Adequate consultations with PIM 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 PIM during the preparation of the management response.

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

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