



Fund

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**IEA Rolling Evaluation Work Plan 2014-2017 &  
IEA Activities and Budget for 2014**

**(ADOPTED)**

*Document presented for Agenda Item 3:  
2014 Workplans and Budgets, PRT Report and  
Special Initiatives System Costs*

*Submitted by:*

IEA



# **IEA Rolling Evaluation Work Plan**

## **2014-2017**

(pages 1-29)

**and**

# **IEA Activities and Budget for 2014**

(page 31-45)

**October 2013**



## Executive Summary

This document presents the first Rolling Evaluation Work Plan (REWP) of the Independent Evaluation Arrangement, IEA, for 2014-2017 and the IEA Activities and Budget for 2014.

The REWP outlines our vision of the contribution of the IEA to the effectiveness and efficiency of the CGIAR in meeting its stated System Level Outcomes; it describes what the IEA aims to achieve in the next four years, and presents the resources needed. The plan was prepared building on the experience gained during IEA's first year of operations, in consultations with Center and the CGIAR Research Program (CRP) management, the Consortium, other stakeholders, as well as on desk study analysis of past evaluations and evaluation capacity in the System.

The REWP presents an ambitious programme of work for the IEA while taking a number of challenges into account in setting realistic targets. The IEA effectiveness does not depend on the IEA alone: it requires support at all levels and from everyone in the system not only in terms of resources and collaboration from various parts of the system, but also in terms of understanding and accepting the role evaluation can play in accountability, learning and decision-making. The IEA logframe reflects an integrated evaluation system, in which the IEA manages System-level evaluations while strengthening evaluation across the CGIAR, through facilitating of an Evaluation Community of Practice (ECoP) and through increasing support to evaluations commissioned by Centers and CRP.

The plan for IEA evaluations aims to establish a regular evaluation schedule for the CRPs and other entities and topics that fall under the IEA mandate, and to provide the basis for the system-wide evaluation, which, as per Evaluation Policy, is due in 2017. It includes: (i) four CRP evaluations per year in 2014 and 2015 and one evaluation of the research support program for crop collections in 2016; thematic syntheses on cross-cutting issues and 2016; (ii) preparatory studies of CRPs; (iii) System-wide evaluation in 2017 and an external evaluation of the IEA during the same year.

The ECoP, once established, will be an essential building block of the integrated evaluation system with the IEA providing leadership on standards and good practices, coordinating a relevant evaluation plan across the CGIAR, as well as facilitating and increasingly supporting decentralized evaluation.

**The total resources required for the IEA to implement its programme amounts to USD 2.658 million in 2014. There is a provision for additional funding in 2014 if the IEA support to CRPs is required for these latter to conduct studies by mid-2015 in light of the second call for funding. The largest budget item relates to the core activities of the IEA on evaluations with personnel cost remaining minimal.**

**The Fund Council is requested to:**

- **consider and approve in principal, subject to funding the Rolling Work Programme 2015-2017 taking account of the work programme to be completed during 2014;**
- **approve the work programme and budget for 2014.**

## Contents

<b>Abbreviations.....</b>	<b>3</b>
<b>1. Introduction.....</b>	<b>4</b>
<b>2. IEA Logframe.....</b>	<b>6</b>
<b>3. Main achievements in 2013 .....</b>	<b>7</b>
3.1 Evaluations .....	8
<i>CRP on Forests, Trees and Agroforestry.....</i>	<i>8</i>
<i>Governance and Management Review of CRPs.....</i>	<i>8</i>
<i>Review of the Generation Challenge Program .....</i>	<i>9</i>
3.2 Evaluation Community of Practice.....	9
3.3 Quality Assurance System.....	10
<i>Finalization of the IEA standards and guidelines.....</i>	<i>10</i>
<i>Establishment of a Quality Assurance Advisory Panel (QAAP).....</i>	<i>10</i>
<i>Quality Control of individual evaluations.....</i>	<i>11</i>
3.4 Liaising with professional networks.....	11
3.5 Developing the IEA Website .....	11
3.6 Liaising with other System Entities, Centers and CRPs and partners (output 1 and 4) .....	11
<b>4. Evaluations planned by the IEA Office.....</b>	<b>12</b>
<i>CRP Evaluations .....</i>	<i>13</i>
<i>Preparatory Studies of CRPs .....</i>	<i>14</i>
<i>Thematic Synthesis.....</i>	<i>14</i>
<i>System-wide evaluation.....</i>	<i>14</i>
<b>5. Strengthening evaluation across the CGIAR .....</b>	<b>17</b>
5.1 Evaluation Community of Practice.....	17
5.2 Coordinating Evaluation Plans.....	17
<b>6. Other activities .....</b>	<b>20</b>
<b>Annex 1: Strengthening evaluation across the CGIAR: IEA Logframe .....</b>	<b>21</b>
<b>Annex 2: Overview of CRP data against selection criteria.....</b>	<b>26</b>
<b>Annex 3: Current state of CRP Evaluation Plans as of 19 September 2013.....</b>	<b>27</b>

## Abbreviations

CCEEs	CRP commissioned evaluations
CCERs	Center-Commissioned External Evaluations
CP	Challenge Program
CRP	CGIAR Research Programs
CRP-FTA	CRP on Forests, Trees and Agroforestry
ECoP	Evaluation Community of Practice
EIAC	Evaluation and Impact Assessment Committee
EPMR	External Program and Management Review
EU	European Union <sup>4</sup>
GCP	Generation Challenge Program
GFAR	Global Forum on Agricultural Research
IDO	Intermediate Development Outcome
IEA	Independent Evaluation Arrangement
IFAD	International Fund for Agricultural Development
ISPC	Independent Science and Partnership Council
M&E	Monitoring and Evaluation
QAAP	Quality Assurance Advisory Panel
REWP	Rolling Evaluation Work Plan
SIAC	Strengthening Impact Assessment in the CGIAR
SLO	System Level Outcomes
SPIA	Standing Panel on Impact Assessment
SRF	Strategy and Results Framework
TOR	Terms of Reference
UNEG	United Nations Evaluation Group

## 1. Introduction

This document presents the first Rolling Evaluation Work Plan (REWP) of the Independent Evaluation Arrangement, IEA, for 2014-2017. It outlines our vision on the contribution of the IEA to the effectiveness and efficiency of the CGIAR in meeting its stated System Level Outcomes (SLOs); it describes what the IEA aims to achieve in the next four years, and presents the resources needed.

The plan was prepared building on the experience gained during the IEA's first year of operations, and consultations with Center and the CGIAR Research Program (CRP) management, the Consortium, other stakeholders, and dialogue with the new CRP evaluation focal points. In addition, specific analyses were undertaken using data from the Consortium and CRPs with the objectives of better understanding evaluation coverage and gaps, in particular since the last External Programs and Management Review (EPMRs) were carried out in 2008, assessing the evaluation capacity in the System and the level of harmonization in practices, and developing a set of criteria for selecting IEA evaluations.

The REWP presents an ambitious programme of work for the IEA and a number of challenges have to be taken into account in setting realistic targets.

The work of the IEA is guided by the Evaluation Policy, which is a comprehensive document on evaluation in the CGIAR endorsed by the Fund Council and the Consortium Board in 2012. The Evaluation Policy presents a vision of how evaluation will be managed in the CGIAR when the IEA is fully established and everything else is in place, including, in particular, corporate information systems, CRP monitoring information, evaluation information from systematic CRP commissioned evaluations (CCEEs), with sufficient coverage and evidence on past results and impacts from high quality adoption, outcomes and impact assessments<sup>1</sup>. These conditions are not yet in place. CRPs are at an early stage of developing their monitoring systems. Although individual CRPs may manage adequate Monitoring and Evaluation (M&E) systems, systematically generated monitoring information across CRPs may not be available for evaluation in the near future. Impact assessments at the Center and CRP levels are not yet scheduled in concert with the IEA evaluation plans, and there are also capacity issues regarding both evaluation and impact assessment to be addressed through communities of practice. Therefore, the overall institutional set-up which forms the “architecture” of the evaluation system, beyond the IEA, is not yet in place and will take some time to be effective. Furthermore, the evaluative studies commissioned and/or carried out by CRPs as “building blocks” of evidence for IEA's own evaluations of CRPs are not yet available.

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<sup>1</sup> The latter to be put scheduled and quality controlled through well-established collaboration between IEA, SPIA and CRPs.

A preliminary analysis<sup>2</sup> was undertaken of the evaluative studies<sup>3</sup> published<sup>4</sup> in the last five years as of 2008, which are relevant to CRPs. This study shows that many of these “building blocks” are weak or missing. These gaps cannot realistically be filled quickly.

All of the above has several implications for IEA’s work:

- a. IEA should work closely with CRPs through the Evaluation Community of Practice (ECoP) to help them build their evaluation plans, strengthen evaluation governance (including ensuring adequate independence) and reinforce evaluation quality;
- b. IEA should work with CRPs to agree on major evidence gaps and where possible jointly commission short studies to fill these gaps, especially when a CRP evaluation is being planned;
- c. IEA should collaborate with the Standing Panel on Impact Assessment (SPIA) and the CRPs so that the CGIAR’s impact assessment can respond to the impact information needs of CRP and System-wide evaluation;
- d. IEA needs to manage expectations from the Fund Council, the Consortium and other users of its evaluations. While the above systems are being strengthened, it must be accepted that early IEA evaluations are likely to have significant gaps in evidence.

Finally, there is a series of adjustments in the environment in which the IEA works, still part of the CGIAR Reform, such as updating the Strategy and Results Framework (SRF), and enhancing the coherence and results orientation of the CRPs in the next funding phase. Evaluations, therefore, represent the medium-term mechanism for providing accountability and learning in a System that is evolving to fulfill the promise of the Reform.

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<sup>2</sup> All of the studies reviewed were sent to the IEA by CRP evaluation focal points or by donors, on request from the IEA. The full list is available in a database of evaluative studies in the CGIAR that is being assembled by the IEA. Only completed evaluative studies (over 110) were reviewed. The full IEA database includes other material such as baseline studies and Terms of Reference for current and planned studies.

<sup>3</sup> “Evaluative studies” include: (i) intermediate assessments of research products, as part of development; (ii) outcome assessments: adoption and use in the geographical focus areas of CRP research and development (iii) ex-post impact assessments: at scale; (iv) reviews and evaluations of CRP components, themes and processes.

<sup>4</sup> Some of the studies appeared in peer-reviewed journals, others were published by a CGIAR institution as a working or occasional paper, while some do not appear to have been formally published.



## 2. IEA Logframe

In consultation with its Quality Assurance Advisory Panel (QAAP), the IEA made a first attempt at developing a logframe for the evaluation function. Using the Evaluation Policy as a basis, the logframe articulates the evaluation function into goals, purpose, outputs and activities and reflects a vision on the specific role of the IEA in that system and what it aims to contribute to achieve over the next four years. A short and partial version, including indicators only at purpose level, is shown below (Table 1) and the full version (including indicators, data sources, IEA activities, and assumptions) is in Annex 1.

**Table 1: Strengthening evaluation across the CGIAR: short version of the proposed IEA Logframe**

<b>Goal (long-term outcome)</b>	
Effective and efficient research planning, decision-making and management across the CGIAR in support of the SLOs	
<b>Purpose (immediate outcome)</b>	<b>Proposed Indicators</b>
Evaluation practice across the CGIAR in line with international standards and evaluations of high quality <u>used</u> appropriately for learning and decision-making as well as accountability	<p>Independent evaluators judge that evaluation culture is evolving and evaluation practices across CGIAR increasingly meet agreed international/CGIAR standards by 2017</p> <p>At least 50 % of sampled management and research staff state that they value evaluations and can provide evidence of at least one practical example of their use/learning, by 2017</p> <p>At least 40% of senior managers and governance representatives can point to a way in which evaluation has played a substantive role in accountability</p>
<b>4 Outputs :</b>	
1 . Effective and timely IEA evaluations feed into CGIAR programming and meet accountability requirement.	
2 CRPs effectively commissioning sufficient and high quality evaluations of their own work	
3 Coordinated evaluation planning between IEA and across CRPs and key partners	
4 Evaluations at all levels receive appropriate response and follow-up	

The logframe defines measures of success and sets targets for which the IEA together with other parts of the Evaluation System will be held accountable. The logframe (in Annex 1) distinguishes those indicators which are largely under the IEA control from others. The IEA effectiveness does not depend on the IEA alone: it requires support at all levels and from everyone in the system, not only in terms of resources and collaboration from various parts of the system, but also in terms of understanding and accepting the role evaluation can play in accountability, learning and decision-making. The key assumptions are listed in the box below. The IEA is taking measures to mitigate the risks associated to these assumptions, including efforts in building a strong ECoP, strengthening collaboration with CRP evaluation focal points and advocating with decision-makers in the System.

### Box 1: Assumptions and risks

*Purpose to goal:*

- strong leadership from the top of the CGIAR to promote and support evaluations as a key management tool;
- non-evidential factors (e.g. personal opinions; pressure from funders) do not unduly outweigh evaluation evidence in key decisions;
- no major constraints to timely and effective implementation of key evaluation recommendations, e.g. funding or staffing.

*Outputs to purpose:*

- IEA adequately resourced;
- high collaboration from CRPs/Centers on evaluation coordination and planning and harmonization of approaches.

*Activities to outputs:*

- adequate and timely funding for high-quality evaluations of agreed areas;
- CRPs/Centers have sufficient capacity to manage evaluations;
- CRPs able and willing to institute adequate monitoring systems which provide reliable and useful information for evaluation, including appropriate input monitoring;
- all building blocks – monitoring information, CCEEs and impact assessments – of sufficient quality and coverage are available;
- Consortium and Fund Council agree on approach to incorporate evaluation evidence (staggered) into decision-making on funding CRPs (synchronous).

## 3. Main achievements in 2013

2013 is the first year of operation of the IEA. Therefore, time was spent in setting up the office, including acquiring office space in FAO, procuring office equipment and defining operational procedures. As approved by the Fund Council, one administrative support and one professional staff were recruited after transparent and competitive processes and following FAO rules and regulations. Two junior consultants (evaluation research assistants) and one part-time senior consultant have also been hired to provide support to the IEA core activities.

Over the past nine months, the IEA has been initiating work on its first projects in line with its program of work and budget approved by the Fund Council in March 2013. Work was concentrated on two main areas of IEA activities: evaluation of CRPs and the development and strengthening of an ECoP. The following paragraphs highlight the main activities and achievements.

### 3.1 Evaluations

The first priority of the IEA is to undertake evaluations of CRPs. With a small team based in Rome, the IEA commissions external evaluations to external expert consultants, with the IEA playing a central role in planning, designing, initiating, and managing the evaluations, ensuring consultation of stakeholders, quality control of evaluation processes and outputs, and dissemination of the results. External evaluation teams are supported by the IEA evaluation research assistant involved in collection of data and information, development of methodological tools and preliminary analysis of data.

#### *CRP on Forests, Trees and Agroforestry*

The first evaluation to be undertaken by the IEA is the one of CRP on Forests, Trees and Agroforestry (CRP-FTA). The evaluation results are expected to feed into the decision-making of CRP-FTA management in order to help improving the strategy and its implementation process, as well as in designing the second phase of FTA. The evaluation may also contribute to overall decision making on CRP management and resource allocation by the Consortium Board and the Fund Council. The evaluation will also contribute to internal learning within CGIAR with respect to key aspects of CRP design and implementation.

This is the first CRP evaluation commissioned and organized by the IEA and the experiences gained will assist the IEA in firming up its approach, methodology and standards to evaluating these large and complex programs that form the CGIAR's research portfolio.

In consultation with CRP-FTA key stakeholders, the IEA planned and designed the evaluation, selected and recruited the team and set up a Reference Group consisting of key stakeholders of the Program. During the inception phase, now completed, an inception report was prepared by the team leader in close collaboration with the IEA. It details the approach, methodology and schedule of the evaluation. The inquiry phase, including visits to centers and research sites will take place from September 2013 to January 2014 and the final draft is expected in April 2014.

#### *Governance and Management Review of CRPs*

The IEA has been tasked with providing a comprehensive review of the governance and management of CRPs. It aims to assess to what extent the practices put in place for CRPs are contributing to the effective and efficient delivery of appropriate research and capacity

development outputs, while meeting international good standards of practice, including fiduciary and risk minimization standards. The review will identify a set of principles for CRP governance, oversight and management that accommodate structural flexibility, but also lead to greater program effectiveness and efficiency while preserving accountability. It will explore the relationships between CRP and Center Management and governance functions.

Similarly to the CRP-FTA evaluation, the IEA planned and designed the Review, selected and recruited the team. The inception phase is completed and the team started the inquiry phase, collecting and analysing additional data, conducting interviews, and surveys. A series of webinars with primary stakeholders will take place at the end of November 2013 to exchange on the preliminary findings, conclusions and recommendations of the Review. The final draft is expected in December 2013.

### *Review of the Generation Challenge Program*

Responding to a request by the Generation Challenge Program (GCP), the IEA accepted to commission and manage an independent external review of the Challenge Program (CP) one year prior to the CP's expected termination date. This review is entirely funded by the GCP. It was planned (including development of terms of reference and selection of the review team) in consultation with one of the GCP's major donors, the European Union (EU), so as to satisfy the donor's evaluation needs without having to conduct two separate reviews. The team has been recruited and has begun its work. The report is due by the end of 2013.

## **3.2 Evaluation Community of Practice**

The establishment of a CGIAR ECoP is an essential step in strengthening evaluation across the CGIAR: by building a strong network of staff able to design, commission and manage evaluations, by supporting evaluation staff with access to peer support and other resources, and by enhancing joint planning. The ECoP is open to membership by all those in the CGIAR having significant evaluation responsibilities as part of their job descriptions.

The ECoP will be officially launched at the end of October 2013 at its first workshop in Rome.

Preparatory activities for the ECoP in 2013 included:

- a) contacting all the CRPs and Centers and establishing a network of Evaluation Focal Points. Preliminary interviews with Focal Points about current challenges in evaluation and what they would like to see in an ECoP;
- b) a preliminary round of collection of information on past evaluations related to current CRPs, and establishment of a preliminary evaluation database;
- c) setting up a pilot website for the ECoP; <https://sites.google.com/site/ieacgiarecop/home-1> and inviting members

(currently there are 45 members). It is expected that the membership will grow to include new CRP M&E staff now being recruited and also M&E personnel attached to specific donor-funded projects;<sup>5</sup>

- d) planning the first ECoP workshop, inviting participants, and getting volunteer ECoP members to act as workshop stewards and session presenters. Details of the workshop, participants and the programme are on the ECoP website.

### 3.3 Quality Assurance System

As envisaged in the Evaluation Policy, the IEA took measures to strengthen its quality assurance system. This involves both internal and external quality assurance mechanisms and processes.

#### *Finalization of the IEA standards and guidelines*

The evaluation policy, standards and good practices form the basis of the quality assurance system. The IEA standards outline the procedures for managing external evaluations and also delineate responsibilities of those who manage evaluations, evaluators and those being evaluated. The standards and their annexes are currently being reviewed and finalized by the IEA staff and external evaluators.

The guidance notes represent a set of good practices and practical guidelines on various aspects of the planning, conduct or management of evaluations. Their preparation has benefitted from extensive comments from many interlocutors with expertise in evaluation. The guidance notes will be finalized at a later stage taking into account experience drawn from the first series of IEA evaluations and with inputs from the ECoP.

#### *Establishment of a Quality Assurance Advisory Panel (QAAP)*

The QAAP is central to the IEA quality assurance system. A Panel, composed of three external quality advisors who all are senior professionals in evaluation, was formed as a sounding board for the Head of the IEA on aspects relating to: evaluation approaches, standards and procedures; the rolling IEA workplan; development of the CGIAR evaluation network and community of practice; ensuring effective follow-up to evaluation. The Panel provides also advice on individual evaluations. The Panel meets virtually and has so far provided advice on methodological aspects of the CRP Governance and Management Review and the IEA logframe.

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<sup>5</sup> ECoP is also open to staff conducting impact assessments and those working for the CGIAR administrative and governing bodies and involved in M&E and impact assessment.

### *Quality Control of individual evaluations*

Quality Control is an ex-post check of the quality of evaluation outputs and process. It involves the scoring by an external independent evaluator of evaluation terms of reference, inception reports and draft and final reports against the CGIAR-IEA standards. An external consultant was contracted to review the templates for scoring evaluation outputs and to test them on the on-going evaluations. The evaluator reports to the IEA Head who made her reports available to the QAAP.

### **3.4 Liaising with professional networks**

Close relationships have been maintained with evaluation professional networks outside the CGIAR, in particular with the Rome-based agencies' evaluation functions and UNEG (United Nations Evaluation Group) to which observer status for the CGIAR IEA was requested.

### **3.5 Developing the IEA Website**

Following the canvassing of proposals for the development of the IEA website a company specialised on web design was selected to design and develop the IEA website to be hosted within [www.cgiar.com](http://www.cgiar.com). The website provides the CGIAR community and its stakeholders a central point for all evaluation information and resources. The website will be an important tool to disseminate evaluation standards, guidelines and evaluation reports, fostering learning and accountability across the CGIAR. It will also allow interested stakeholders to download publications, find important resources, and learn about important events and news related to the IEA and to evaluation in the CGIAR. The website will be launched in October 2013.

### **3.6 Liaising with other System Entities, Centers and CRPs and partners (output 1 and 4)**

This has involved frequent contacts and exchange with Center/CRP staff and participation to various meetings (Independent Science and Partnership Council (ISPC) meetings, Board Orientation Program, system-level workshops, Consortium Board meetings). The Head of the IEA has also been active in the Strengthening Impact Assessment in the CGIAR (SIAC) Steering Committee.

In addition, the IEA has engaged in dialogue with the ISPC/SPIA and the Consortium on the interrelationships between monitoring, impact assessment and evaluation, and clarification in roles among those respective units. Two discussion papers are being prepared by the IEA

jointly with SPIA and the Consortium on impact assessment and evaluation and monitoring and evaluation respectively.

This clarification in roles will be useful to all stakeholders in the CGIAR including the Fund Council Member (especially its Evaluation and Impact Assessment Committee, EIAC), the Consortium, CRPs, and Centers. It will also facilitate more effective collaboration (by delineating the when, where and how) between the various bodies engaged in the interlocked areas of evaluation, impact assessment and monitoring, i.e. the IEA, SPIA, CGIAR Consortium, CRPs and Centers.

Other liaison activities have included exchange with the Fund Council members through the EIAC and information sharing and coordination of evaluation plan with donors, in particular the International Fund for Agricultural Development (IFAD) and the EU.

#### 4. Evaluations planned by the IEA Office

The plan for the IEA evaluations aims to establish a regular evaluation schedule for the CRPs and other entities and topics that fall under the IEA mandate, and to provide the basis for the System-wide evaluation, which, as per Evaluation Policy, is due in 2017. The overall evaluation strategy takes into account the following issues:

- no evaluation of a significant coverage and scope took place since the last EPMR (2009), as shown in the analysis of past evaluative studies<sup>6</sup>;
- the monitoring information available is likely fragmented as most CRPs are in the process of developing monitoring and evaluation systems<sup>7</sup>, which should provide crucial systematic and credible information for CRP evaluation in the future. This has implications on the approach and cost for evaluating CRPs;
- it is practically not possible to conduct full-fledged CRP evaluations of all the CRPs over the next three years. However, major research of all CRPs will need to be covered, even if only partially, for the System-wide evaluation;
- CRPs became operational gradually over time and all CRPs include past research in their pipeline; some of them a considerable amount.

The IEA evaluation workplan includes:

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<sup>6</sup> See footnote 3

<sup>7</sup> A preliminary analysis of current state of CRP evaluation plans has been done by the IEA and a table of the status of CRP evaluation plan is found in Annex 3. The study will be completed after the ECoP workshop in November and updated on a regular basis.



- up to ten CRP evaluations in 2014 and 2015 completed or well-advanced and evaluation of the research support program for crop collections in 2016;
- thematic syntheses on cross-cutting issues in 2016;
- preparatory studies in 2016 of CRPs not subject to full-evaluation;
- System-wide evaluation in 2017;
- external evaluation of the IEA.

The evaluation plan is summarized in Table 2.

### *CRP Evaluations*

A combination of the following criteria were used in timing the individual CRP evaluations and selecting themes for evaluations:

- the length of time during which the CRP has been working (date of approval);
- the actual size of expenditures to date;
- the dates of the last EPMR of the lead center as a proxy for previous evaluation coverage, particularly in cases where considerable proportion of the CRP research is a continuation of the lead Center research;
- the extent to which considerable previous on-going work has been absorbed into the CRP, acknowledging that CRPs with more new work in total will have less to immediately evaluate;
- balance in geographical coverage and CRP characteristics (commodity, agro-ecological zone, issue, etc).

A summary table of CRP data against these criteria is found in Annex 2.

In addition to providing accountability, CRPs evaluations are expected to provide valuable information and advice on planning and implementation, thereby supporting decision-making and lessons for the further development of the CRPs and the Reform in general. The purpose and scope of CRP evaluations will be adjusted according to the stage of implementation of the CRP and emphasis on specific questions will be defined for each evaluation. CRP evaluations give particular attention to questions of the comparative advantage of the CGIAR and the CGIAR reform in efficiently contributing to the achievement of development results. They also determine the relevance and fulfilment of objectives, development efficiency, quality, effectiveness, impact, sustainability of results and partnership arrangements, which are a specific feature of the new programmatic approach.

Given the long and complex impact pathways to the Intermediate Development Outcomes (IDOs), it is unlikely that achievements against IDOs can be identified and assessed in the next few years, except for past research transferred to CRPs. In these cases, CRP evaluations will build evidence drawn, *inter alia*, from existing ex-post impact assessments of past



research, when these are validated as being of acceptable quality. Overall, when designing the evaluation, questions will be thought along a continuum from assessing the validity of impact pathways, likeliness of results, and the causal analysis of results identified, depending on the stage of implementation of the various research lines of CRPs.

### *Preparatory Studies of CRPs*

In 2016, a number of CRP preparatory studies are proposed which will feed into subsequent CRP full evaluations, but will also provide some interim information for the 2017 System-wide evaluation. Realistically, these studies will be light and will focus on result performance, ideally building on evaluative studies that CRPs will have completed by 2016 and monitoring data from CRP and the Consortium monitoring systems, which are expected to be fully in place by the end of this first program cycle. These studies will also synthesize evaluative studies carried out by donors.

In light of a request from the Consortium and the Fund Office that evaluative information should be available for all CRPs by 2015, the IEA is prepared to provide support to studies by the CRPs by mid-2015, provided that funding is available for this support. This may require adjustment in schedule of full evaluations planned for 2014 and 2015 and activities in 2016.

### *Thematic Synthesis*

Thematic studies will be carried out on selected cross-cutting themes, namely partnership, gender and capacity development in 2016. These thematic studies will be desk analyses synthesizing information available from research program, Consortium, donor and Global Forum on Agricultural Research (GFAR) documentations and focusing mainly on specific strategies and their implementation.

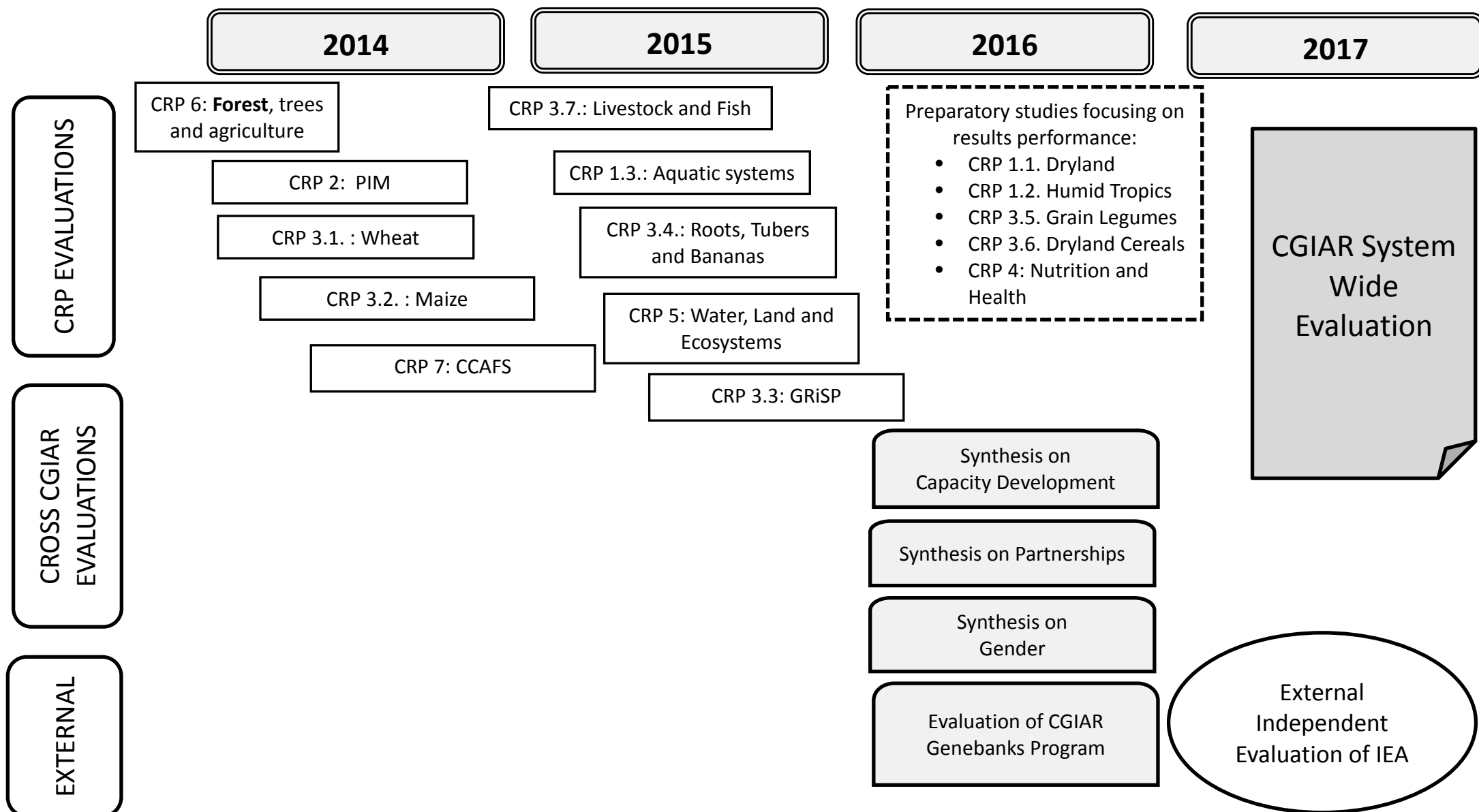
### *System-wide evaluation*

As stated in the Evaluation Policy, the IEA will design and manage the System-wide evaluations, the first of which following the launch of the Reform will take place in 2017: ... “It will cover all aspects of the CGIAR, and will require the evaluation team to examine major current and emerging issues and the continuing relevance and value added of the CGIAR, its objectives, outputs, modalities and institutional framework in achieving development impacts in the priority areas of research for development. The evaluation will assess the coherence and relevance of the Strategy and Results Framework (SRF) and the CRPs as well as the institutional efficiency and perceived overall usefulness of the CGIAR to users and partners and the potential for impacts. It should help to satisfy the overall needs for accountability on the performance of the system. It is at this level that the mutual accountability and synergies of all elements of the system, including how donors and partners exercise their responsibilities

will be most thoroughly analysed, as will the relationships to partners and users of CGIAR research results. The evaluation will be focused for maximum utility”.

An externally-managed independent evaluation of the IEA will take place in parallel to the system wide evaluation and will be steered by the EIAC of the Fund Council.

**Table 2: IEA evaluations 2014 -2017**



## 5. Strengthening evaluation across the CGIAR

### 5.1 Evaluation Community of Practice

Activities conducted in 2013 have been reported in the earlier section 3.

Future activities for the ECoP will be agreed at the launch workshop. These are likely to include:

- knowledge sharing activities: including through the website, webinars and web discussions and regular updates. This will include resources on approaches and methods for evaluation and evaluation management and an on-line forum facilitated by the IEA to provide *ad-hoc* support and advice;
- an annual meeting: as face to face interaction is essential to build and strengthen relationships;
- training events, some of which will be linked to the annual meeting;
- a central database of evaluation reports from studies carried out across the CGIAR.

Once the network is established, the IEA, as part of its leadership role for the ECoP, will ensure that the appropriate web-based platforms and technology are available. The IEA will ensure support and coordination as required by the network at large. It is expected that the IEA will increasingly provide *ad-hoc* support and advice to decentralized evaluations commissioned by the CRPs.

### 5.2 Coordinating Evaluation Plans

The IEA has collected information about evaluative studies (broadly defined) commissioned by centers and CRP since 2008. An analysis of these evaluative studies shows that Centers typically carried out the following types of evaluative studies that may apply also to CRPs:

- a) intermediate assessments of research products, as part of their development;
- b) outcome assessments: adoption and use in the geographical focus areas of Center/CRP research and development;
- c) ex-post impact assessments: at variable scales;
- d) reviews and evaluations of Center/CRP components, themes and processes.

Typically, (a) and (b) are carried out internally by research staff, while (c) and (d) may be carried out either internally, or by external consultants, or by both.

CCEEs as set out in the CGIAR Evaluation Policy are a subset of (d) above. CCEEs are characterised by their being commissioned and managed by the CRP but under the direct oversight of CRP governance, thus making them independent from CRP management, the use

of independent external consultants, and a systematic approach to assessing established evaluation criteria. Paragraph 31 of the Evaluation Policy states that... “independent evaluations of the CRP commissioned by CRP management [CCEEs] will provide the base for the evaluation of the CRP as a whole. The coverage of these evaluations will be agreed between the CRP management and the IEA Head as part of the evaluation planning process and the evaluations included in the CGIAR consolidated evaluation workplan. The CRP dialogue with the IEA Head will also help to ensure that the timing and coverage of individual evaluations best serve the decision making and lesson learning needs at the level of researchers, research managers and partners. All CRP led evaluations should follow CGIAR Evaluation Standards as a means for quality management. The evaluations should also meet the needs of any donors who continue to require evaluation information on their specific project contributions...”

Of the types of evaluative studies listed above, only the CCEEs are currently within the mandate of the IEA. However, the IEA has a clear interest in fostering strong monitoring and evaluation plans throughout the CRPs, as evaluative studies carried out by CRPs are the building blocks for the bulk of IEA’s evaluations. For this reason, the IEA is working with the Consortium, SPIA and in particular through the ECoP to encourage and support CRPs to develop strong evaluation plans, including CCEEs.

In 2013, the IEA has begun dialogue with the CRPs about their evaluation plans, in particular for CCEEs. Evaluation focal points have been nominated for each CRP. Development and implementation of full evaluation plans, however, still depends on several issues:

- not all CRPs have dedicated staff for M&E: three CRPs and two Centers have recruited new staff responsible for M&E within the past year, and another five CRPs are currently in the recruitment process;
- although most CRPs have an “M&E plan” approved as part of their CRP proposal, this is usually confined to setting out general principles and responsibilities, and in some cases does not have wide ownership from the CRP management and staff. Few CRPs have developed a draft list of planned evaluations;
- the governance of evaluations at CRP level varies a lot, as do the roles and positions of staff responsible for managing external evaluations. This has implications on whether CCEEs can have sufficient organisational independence;
- although the Evaluation Policy foresees that the old Center-Commissioned External Evaluations (CCERs) will be discontinued with the switch over to CCEEs, in practice a number of Center Boards are still commissioning CCERs. It is expected that there will be a gradual process of change as the programmatic approach is strengthened, CCEEs come on stream and Center Boards feel more comfortable relying on them.

The proposed next steps for the IEA regarding support to developing CRP evaluation plans and strengthening CRP evaluations are set out in Table 3.

**Table 3: Proposed IEA activities for strengthening CRP evaluation plans**

<b>2013 (final quarter)</b>
ECoP meeting: explain and discuss new evaluation system to members (including how CRP-led evaluations fit in, and the planning process), presentation and feedback on initial evaluation plans for 6 CRPs, agreement on next steps/timetable for other CRPs. If possible, agree plans for harmonisation of guidance for CRP evaluation plans.
<b>Approval of draft CCEE guidance, for use/testing purposes</b>
IEA discussions and outline agreements on roles with Consortium and SPIA with respect to: (a) planning and gap analysis over evaluative studies (including impact assessments) (b) providing technical support for individual studies (c) quality assure / meta evaluation for different types of studies (d) linking monitoring and evaluation data requirements more clearly
<b>2014</b>
Work with CRP evaluation managers and governance structures who have plans for external reviews to strengthen these so they can be used as CCEEs
Work with all CRPs to agree CCEEs for the IEA Rolling Evaluation Work Plan 2014-18, building on the gap analysis of older evaluative studies in CRPs
First CCEEs take place: advisory support on ToRs and process as required
<b>2015</b>
Meta-evaluation of CCEEs
Review and test CCEE guidance at ECoP workshop
Advisory support on ToRs and process of CCCEs as required
Revise and update REWP
<b>2016</b>
Revise and update REWP; continue to support CRPs directly and through ECoP

## 6. Other activities

An important set of activities relates to enhancing follow-up to evaluations and include guidance for evaluation follow-up systems, interactions with decision-makers to help setting up these systems, and work through the ECoP and its members to promote use of and learning from evaluation.

In addition to the core activities, there is a set of activities, initiated in 2013 and described in section 3, which will continue to be carried out on a routine basis. These include: communication (IEA website maintenance, Newsletter; evaluation briefs); IEA databases (evaluations; expert roster); liaising with System entities; engaging in professional networks.

It is also expected that the QAAP and the external Quality Control of individual evaluations established this year will continue over the next three years. The quality assurance system will be reviewed at the time of the IEA evaluation.

## Annex 1: Strengthening evaluation across the CGIAR: IEA Logframe

### Goal and purpose

Goal (long-term outcome):			
Effective and efficient research planning, decision-making and management across the CGIAR in support of the System Level Outcomes (SLOs)			
Purpose (medium term outcome)	Measures of success	Sources of data	Assumptions and risks
<b><u>Evaluation practice across the CGIAR in line with international standards and evaluations of high quality used appropriately for learning and decision-making as well as accountability</u></b>	<p>Independent evaluators judge that evaluation culture is evolving and evaluation practices across CGIAR increasingly meet agreed international/CGIAR standards by 2017</p> <p>At least 50 % of sampled management and research staff state that they value evaluations and can provide evidence of at least one practical example of their use/learning, by 2017</p> <p>At least 40% of senior managers and governance representatives can point to a way in which evaluation has played a substantive role in accountability.</p>	<p>External Evaluation of IEA (2017) and System-wide evaluation (2017): assessment of a sample of evaluations at different levels of CGIAR and their use; surveys of staff; assessment of CRP evaluation plans</p>	<p><i>Purpose to goal:</i></p> <ul style="list-style-type: none"> <li>• Strong leadership from the top of the CGIAR to promote and support evaluations as a key management tool</li> <li>• Non-evidential factors (e.g. personal opinions; pressure from funders) do not unduly outweigh evaluation evidence in key decisions</li> <li>• No major constraints to timely and effective implementation of key evaluation recommendations, e.g. funding or staffing</li> </ul> <p><i>Outputs to purpose:</i></p> <ul style="list-style-type: none"> <li>• IEA adequately resourced</li> <li>• High collaboration from CRPs/Centers on evaluation coordination and planning and harmonization of approaches</li> </ul> <p><i>Activities to outputs:</i></p> <ul style="list-style-type: none"> <li>• Adequate and timely funding for high-quality evaluations of agreed areas</li> <li>• CRPs/Centers have sufficient capacity to manage evaluations</li> <li>• CRPs able and willing to institute adequate monitoring systems which provide reliable and useful information for evaluation, including appropriate input monitoring.</li> <li>• All building blocks – monitoring information, CCEEs and impact assessments – of sufficient quality and coverage are available</li> <li>• Consortium and Fund Council agree on approach to incorporate evaluation evidence (staggered) into decision-making on funding CRPs (synchronous)</li> </ul>



## Outputs and IEA activities

Outputs	Measures of success	Sources of data	IEA Activities	IEA Inputs
	<p><b>“IEA” indicator:</b> largely under the control of the IEA</p> <p><b>“System” indicator:</b> The IEA contributes but largely not under the control of IEA</p>			
<b>1. Effective and timely IEA evaluations feed into CGIAR programming and meet accountability requirements</b>	<p><b>IEA:</b> At least 7 evaluations of CRPs, 2 thematic synthesis completed by the IEA 2017</p> <p><b>IEA:</b> Independent quality assurance of recent CRP evaluations shows fair and reasonably harmonized assessment (i.e. CRPs are not being held to very different standards)</p> <p><b>System:</b> A majority of surveyed CRP managers/ other key staff report that they value evaluations and can cite examples of where they have been used in decisions</p> <p><b>System:</b> A survey of key institutions on accountability (FC/CB/key national partners) shows that a majority value IEA evaluations and can give at least one example of how evaluation has fed into accountability</p> <p><b>System:</b> Fund Council and Consortium decisions clearly reflect consideration of relevant IEA evaluations</p>	<p>Independent evaluation of IEA (2017)</p> <p>System-wide evaluation of CGIAR (2017)</p> <p>FC/CO reports and minutes of key meetings</p> <p>Independent survey conducted as part of evaluation of IEA (2017)</p> <p>Quality assurance undertaken as part of independent evaluation of IEA</p>	<p>Plan and implement CRP, institutional and other thematic evaluations together with decision-makers across the CGIAR</p> <p>Design and manage the evaluation process for at least 9 complex evaluations (2014-16) and System-wide evaluation (2017)</p> <p>Manage the quality assurance process for evaluations</p> <p>Work with managers to disseminate evaluation results and systematically follow up evaluation recommendations</p>	<p>Staff and consultant time</p> <p>Quality Assurance Advisory Panel</p>

Outputs	Measures of success  “IEA” indicator: largely under the control of the IEA  “System” indicator: The IEA contributes but largely not under the control of IEA	Sources of data	IEA Activities	IEA Inputs
2. CRPs effectively commissioning sufficient and high-quality evaluations of their own work	<p><b>IEA:</b> Launches cross-CGIAR Evaluation Community of Practice, by October 2013</p> <p><b>IEA:</b> Approves and publishes evaluation standards and guidance, by December 2014</p> <p><b>IEA:</b> agrees with ECOP/EIAC/FC on support and quality assurance required for decentralized evaluations, by early 2015 and (as decided) puts this into place by December 2015</p> <p><b>IEA:</b> publishes at least one meta-evaluation of CCEEs, by 2016</p> <p><b>System:</b> Independent evaluators judge no major gaps in evaluation coverage of (a) major areas of CRP research (b) evaluation criteria in CRP commissioned evaluations conducted, by 2017</p> <p><b>System:</b> Independent evaluators judge that most CCEEs* fully meets minimum CGIAR evaluation standards by 2017(Milestone: ECOP discusses and agrees on the minimum evaluation standards, by end 2014)</p> <p><b>System:</b> CRP evaluations using meta-analysis more effectively from 2017</p>	<p>CRP evaluations (by 2016)</p> <p>System-level evaluation of CGIAR (2017)</p>	<p>Regular gap analysis by IEA</p> <p>Coordinated evaluation planning exercises with CRPs and other institutions (feeding into REWP*) through ECOP*</p> <p>Discuss standards at ECOP meeting 2014</p> <p>ECOP helps build capacity for planning and gap analysis (as required)</p> <p>Regular meta evaluations/ feedback (annual from 2014)</p> <p>Provision of quality assurance support to CRP evaluation staff (for instance through ECOP)</p>	<p>Biennial gap analysis</p> <p>Annual REWP Planning exercise</p> <p>ECOP training sessions as required</p> <p>Staff or consultants for meta-evaluations</p>

Outputs	Measures of success  <b>“IEA” indicator: largely under the control of the IEA</b>  <b>“System” indicator: The IEA contributes but largely not under the control of IEA</b>	Sources of data	IEA Activities	IEA Inputs
<b>3 Coordinated evaluation planning between IEA and across CRPs and key partners</b>	<b>IEA:</b> Harmonised framework for presentation of evaluation plans agreed across CRPs by October 2015 (milestone)  <b>System:</b> Framework used by 70% of CRPs by 2017	CRP evaluations (2014-16)  Surveys conducted for Evaluation of IEA (2017)  System-wide evaluation (2017)	Support coordinated evaluation planning exercises with CRPs, Centers, the Consortium Board and Fund Council Secretariat, consulted on in the Community of Evaluation Practice and feeding into the Rolling Evaluation Workplan (REWP)  Regular gap analysis by IEA  Annual ECOP meeting 2014 agrees on provisional framework for planning at CRP level	Annual ECOP meetings with IEA

Outputs	Measures of success  “IEA” indicator: largely under the control of the IEA  “System” indicator: The IEA contributes but largely not under the control of IEA	Sources of data	IEA Activities	IEA Inputs
4 Evaluations at all levels receive appropriate response and follow-up	<p><b>IEA:</b> Follow-up system established for key recommendations of CRP evaluations and CCEEs (as per evaluation policy) by 2015</p> <p><b>System:</b> Evidence of use for learning and follow-up of at least 3/4 of sampled evaluations, by 2017</p>	<p>CRP evaluations (2015-16)</p> <p>CGIAR system-level evaluation (2017)</p>	<p>Provide guidance for evaluation follow-up systems</p> <p>Review the possibilities for a centralized monitoring and reporting system on follow-up to major evaluations</p> <p>Interact with key decision-makers including the Fund Council, Consortium, and CRP/Center managers to help set up follow-up systems</p> <p>Publicize evaluation findings and recommendations of interest beyond the immediate audience of the evaluation.</p> <p>Work through ECOP and its members to promote use and learning from evaluation</p>	<p>Staff and consultant time</p> <p>Annual ECOP meetings with IEA</p> <p>ECOP website and events as required</p>

## Annex 2: Overview of CRP data against selection criteria

NO	CRP	LEAD CENTER	1. DATE OF APPROVAL	2. TOTAL BUDGET FOR 3 YEARS (in USD MILLION)	3. CUMULATIVE EXPENDITURES (by end of 2012)	4. PROPORTION OF WINDOW 1&2 FUNDING OF CUMULATIVE BUDGET (by end of 2012)	COMPLETION OF LAST EPMR OF LEAD CENTER	6. % of lead center budget of total cumulative budget	7. Number of participating centers
1.1	Dryland Systems	ICARDA	Mar-2012	122.7	30.737	23%	June 2006	57%	8
1.2	Humid Tropics Systems	IITA	Mar-2012	144.4	22.012	30%	June 2007	57%	7
1.3	Aquatic Agricultural Systems	World Fish Center	Mar-2012	59.5	27.597	52%	Jan 2006	100%	3
2	Policies, Institutions and Markets	IFPRI	Dec-2011	266	78.677	25%	Feb 2005	78%	10
3.1	Wheat	CIMMYT	Dec-2011	227.5	40.78	31%	March 2005	80%	2
3.2	Maize	CIMMYT	Dec-2011	238	102.91	18%	March 2005	90%	2
3.3	Rice	IRRI	Nov-2011	593.4	196.238	70%	Feb 2009	67%	3
3.4	Roots, Tubers and Bananas	CIP	Nov-2011	182.8	54.569	44%	July 2007	40%	4
3.5	Grain Legumes	ICRISAT	Oct-2011	139.1	24.304	29%	Feb 2009	50%	4
3.6	Dryland Cereals	ICRISAT	Jul-2011	84.3	7.431	42%	Feb 2009	74%	2
3.7	Livestock and Fish	ILRI	Jul-2011	119.7	17.016	46%	Oct 2006	62%	4
4	Nutrition and Health	IFPRI	Apr-2011	191.4	60.988	22%	Feb 2005	71%	9
5	Water, Land and Ecosystems	IWMI	Apr-2011	246.3	55.474	39%	Dec 2006	n/a	11
6	Forests, Trees and Agroforestry	CIFOR	Feb-2011	232.9	102.036	38%	March 2006	47%	4
7	CCAFS	CIAT	Feb-2011	392.5	119.714	68%	Aug 2007	20%	15
	<b>AVERAGE</b>			<b>216.0</b>	<b>62.7</b>	<b>38%</b>		<b>59%</b>	<b>5.9</b>

Sources: Data from Consortium and CRPs

### CRP TYPES :

COMMODITIES
SYSTEM LEVEL
OTHER

### Annex 3: Current state of CRP Evaluation Plans as of 19 September 2013

CRP	Lead Center	Focal point	Oversight of evaluative studies	Evaluation policy or principles	Specific evaluation plan with list of studies*	External evaluations and reviews commissioned by CRP and partners (excluding IEA evaluations)
1.1 Dryland Systems	ICARDA	Bill Payne (CRP Director)	CRP Steering Committee and Regional Management Committees (RMCs)	In CRP proposal: General principles and structures.	Under development	Included in principle, but no specific list available yet.  Gender audit (date tbc)  Some CCERs planned by ICARDA (no details available yet).
1.2 Humidtropics	IITA	Eric Koper	Programme Advisory Committee	In CRP proposal: General principles.	Under development. Baseline studies starting mid-late 2013	Included in principle.
1.3 AAS Aquatic Agricultural Systems	WorldFish	Charlie Crissman (with Boru Douthwaite)	Programme Oversight Panel (POP) including WorldFish DG and IMWI board member	In CRP proposal: General principles.	Under development	Included in principle.
2 PIM - Policies, Institutions and Markets	IFPRI	Ruth Meinzen-Dick pro tem		In CRP proposal: General principles.	Under development	Included in principle.
3.1 WHEAT	CIMMYT	Lone Badstue	(for both WHEAT and MAIZE): CRP Stakeholder Committee and CRP Management Committee (ToRs in CRP proposals) "Reviews: - ISPC and donors request to execute reviews - Management	(for both WHEAT and MAIZE): "You can't eat potential (YCEP)": research management framework May 2012;	"Operationalization of M&E and impact assessment at CIMMYT and in MAIZE and WHEAT" 2012. Includes audits, project reviews, socio-economic studies, impact assessments, external reviews	2013: <ul style="list-style-type: none"> <li>Gender Audit of WHEAT (WHEAT)</li> <li>Transgenic strategy (WHEAT SI6, SI7)</li> <li>Plant breeding support in the CGIAR (WHEAT SI4-9; B&amp;MGF)</li> <li>Biotechnology research in the CGIAR (WHEAT SI4, SI5, SI6, SI7, ISPC)</li> </ul> 2014: <ul style="list-style-type: none"> <li>Review of seed impact pathways (WHEAT SI8)</li> <li>Review of Capacity building in WHEAT (WHEAT SI10)</li> <li>Wheat Genebank activities (GENEBANK)</li> </ul>

CRP	Lead Center	Focal point	Oversight of evaluative studies	Evaluation policy or principles	Specific evaluation plan with list of studies*	External evaluations and reviews commissioned by CRP and partners (excluding IEA evaluations)
3.2 MAIZE	CIMMYT		Committee selects additional reviews based on strategic gaps - Stakeholder Committee receives conclusions from reviews"			<p>2013:</p> <ul style="list-style-type: none"> <li>• Gender Audit of MAIZE (MAIZE)</li> <li>• Innovation system thinking for improved research impact (MAIZE SI2)</li> <li>• New Seed Initiative for Southern Africa (MAIZE SI4, bilateral)</li> <li>• International Maize Improvement Consortium (MAIZE SI5)</li> <li>• Transgenic strategy (MAIZE SI9)</li> <li>• Plant breeding support in the CGIAR (MAIZE SI4-9; B&amp;MGF)</li> <li>• Biotechnology research in the CGIAR (MAIZE SI4, SI8, SI9, ISPC)</li> </ul> <p>2014</p> <ul style="list-style-type: none"> <li>• Review of Capacity building &amp; Partnerships (MAIZE)</li> <li>• Maize Genebank activities (GENEBANK)</li> </ul>
3.3 GRiSP	IRRI	Sam Mohanty (IRRI) and Aliou Diagne (AfricaRice)	GRiSP Program Planning and Management Team (PPMT) and the Oversight Committee.	Detailed principles set out in M&E plan 2011.		<ul style="list-style-type: none"> <li>• AfricaRice planned CCERs:</li> <li>• June/July 2013: CCER on rice pathology and entomology research as related to gene discovery and pre-breeding and breeding products (GRiSP theme 1)</li> <li>• November 2013: CCER on rice value chain research: innovation systems, mechanization, rice-based products (GRiSP theme 4)</li> <li>• June 2014: CCER on crop and NRM research: labor, water, nutrient productivity at field, farm and landscape/watershed level and implications of climate change (GRiSP theme 3 and CCAFS)</li> <li>• November 2014: CCER on policy and impact assessment research (GRiSP theme 5)</li> <li>• March 2015: CCER on pre-breeding and breeding research (GRiSP themes 1 and 2 and genebank CRP)</li> <li>• June 2015: CCER on rice sector development program (GRiSP theme 6)</li> </ul>

CRP	Lead Center	Focal point	Oversight of evaluative studies	Evaluation policy or principles	Specific evaluation plan with list of studies*	External evaluations and reviews commissioned by CRP and partners (excluding IEA evaluations)
3.4-RTB Roots Tubers and Banana	CIP	Dagmar Wittine	The broadened Management Committee including the Center Focal Points has overall oversight	In CRP proposal: General principles.	Under development	Included in principle.
3.5 Grain Legumes	ICRISAT	Kizito Mazvimavi	Research Management Committee (RMC)	In CRP proposal: General principles.	List of planned impact assessments available for 2013/14	Externally-led adoption and impact assessments, 2013/14: <ul style="list-style-type: none"> <li>• Pigeonpea in Northern Tanzania;</li> <li>• Short duration chickpea varieties in Andhra Pradesh, India;</li> <li>• Groundnut research and development in Malawi.</li> </ul>
3.6 Dryland Cereals	ICRISAT	Kizito Mazvimavi	Research Management Committee (RMC)	In CRP proposal: General principles.	List of planned impact assessments available for 2013/14	Externally-led adoption and impact assessments 2013/14: <ul style="list-style-type: none"> <li>• Sorghum research and development in Mali</li> <li>• sorghum variety development in central Tanzania</li> <li>• Sorghum Marcia in Zimbabwe</li> </ul>
3.7 Livestock and Fish	ILRI	Pat Rainey	Center focal points currently.		Under development	<ul style="list-style-type: none"> <li>• 2014: Value Chain Development Theme of the Livestock &amp; Fish Program.</li> <li>• 2014: Evaluation of the CRP3.7 learning agenda and Results Strategy Framework and its implementation</li> <li>• Date tbc: Evaluation of the Feeds and Forages Theme of the Program</li> </ul>
4 A4NH - Agriculture for Nutrition and Health	IFPRI	Nancy Johnson	CRP Director and Programme Management Committee	In CRP proposal: General principles.	Under development	<ul style="list-style-type: none"> <li>• Biofortification - Theme 2 – targeted gap-filling targeted evaluations building on 2012 Harvest Plus Abt review, to include:</li> <li>• 2103 Gender assessment of HarvestPlus</li> <li>• 2013 EC evaluation</li> <li>• 2014: Integrated programs - Theme 4</li> <li>• 2015 LAC in 2015—Theme 2</li> <li>• 2015: Food safety - Themes 1 and 3</li> </ul>



CRP	Lead Center	Focal point	Oversight of evaluative studies	Evaluation policy or principles	Specific evaluation plan with list of studies*	External evaluations and reviews commissioned by CRP and partners (excluding IEA evaluations)
5 WLE - Water, Land and Ecosystems	IWMI	Elizabeth Weight pro tem	WLE management committee,, with high level oversight provided by the WLE Steering Committee.	M&E plan (2013) sets out indicators for monitoring and principles for evaluation.	Under development	<ul style="list-style-type: none"> <li>• 2013: CCEER of IMWI with emphasis on science quality</li> <li>• 2014: Challenge Programme for Water and Food</li> <li>• 2014: IMAWESA (Improved Management of Agricultural Water in East and Southern Africa)</li> </ul>
6 FTA - Forests, Trees and Agroforestry	CIFOR	MEIA team: Brian Belcher, Jules Colomer, Elisabetta Gotor and Frank Place		In CRP proposal: General principles.	Under development	<p>Included in principle. Partial list of planned external evaluations:</p> <ul style="list-style-type: none"> <li>• 2013: CRP Theme 2: Conservation</li> <li>• 2013: Contribution of CIFOR &amp; CIRAD research to improved forest management in the Congo Basin.</li> <li>• 2013: Malawi Agroforestry for Food Security</li> <li>• 2013: Indonesia rubber agroforestry systems</li> <li>• 2013: Uganda tenure</li> <li>• 2014: Guinea LAMIL: Landscape Management for Improved Livelihoods programme.</li> <li>• 2014: Influence of CIFOR research on climate change policy process</li> </ul>
7 CCAFS	CIAT	Philip Thornton	CCAFS Program Management Committee and the Independent Science Panel	In CRP proposal: General principles.	Under development	<p>2013: CCAFS governance and management; theme by region matrix for IPCs  2014: designing research with stakeholders  2015: policy engagement and influence  (List to be updated in Oct 2013)</p>

\* Note: It is often the case that many specific research product, outcome and impact assessment studies have been programmed, but no centralised list of these is available.



# **IEA Activities and Budget for 2014**

**October 2013**



## Contents

<b>Abbreviations.....</b>	<b>34</b>
<b>1. Summary.....</b>	<b>35</b>
<b>2. Introduction.....</b>	<b>37</b>
<b>3. Planned IEA Evaluations .....</b>	<b>37</b>
3.1 Completion and dissemination of evaluation and reviews started in 2013.....	37
3.2 CRP evaluations planned for 2014 and justification for prioritizing them.....	37
3.3 Preparatory work for CRP evaluations planned to take place in 2015 .....	39
<b>4. Strengthening evaluation across the CGIAR .....</b>	<b>41</b>
4.1 Evaluation Community of Practice .....	41
4.2 Coordinating Evaluation Plans .....	41
4.3 Capacity of CRPs to carry out Verification Studies to feed into Appraisal of CRP Proposals for the second call for funding 2015 .....	42
<b>5. Other activities .....</b>	<b>42</b>
<b>6. IEA Budget Requirements for the IEA.....</b>	<b>43</b>
6.1 Budget requirements for 2014 .....	43

## Abbreviations

AAS	Aquatic Agricultural Systems
CCAFS	Climate Change, Agriculture and Food Security
CCEEs	CRP commissioned evaluations
CIAT	International Center for Tropical Agriculture
CIMMYT	International Maize and Wheat Improvement Center
CIP	International Potato Center
CRP	CGIAR Research Programs
CRP-FTA	CRP on Forests, Trees and Agroforestry
ECoP	Evaluation Community of Practice
EIAC	Evaluation and Impact Assessment Committee
EPMR	External Program and Management Review
GRiSP	Global Rice Science Partnership
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	World Agroforestry Centre
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IEA	Independent Evaluation Arrangement
IFPRI	International Food Policy Research Institute
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IPFRI	International Food Policy Research Institute
IRRI	International Rice Research Institute
IWMI	International Water Management Institute
PIM	Policies, Institutions and Markets
QAAP	Quality Assurance Advisory Panel
REWP	Rolling Evaluation Workplan
RTB	Roots, Tubers and Bananas
SPIA	Standing Panel on Impact Assessment
ToR	Terms of Reference
WLE	Water, Land and Ecosystems

## 1. Summary

The Workplan and Budget for 2014 forms an integral part of the 2014-17 Rolling Evaluation Workplan, which is prepared in the context of the System-wide evaluation planned for 2017.

- Extensive independent evaluation of CRPs and themes commissioned by the IEA:
  - independent in-depth evaluations of CRPs. It is planned that ten<sup>8</sup> of these, as well as the evaluation of the research support program for crop collections, will have been completed prior to the System-wide evaluation;
  - the remaining CRPs not covered by evaluation in this period, are those most recently approved and/or for which there is the least body of ongoing work carried forward from previous Center research. These will be covered by preparatory studies in 2016<sup>9</sup> prior to the System-wide evaluation;
  - three thematic syntheses on cross-cutting issues on gender, partnership, and capacity development.
- Strengthening the capacity of CRPs and Centers for evaluation (Evaluation Community of Practice, ECoP). Evaluation commissioned by the IEA is intended to be underpinned and largely based on independent evaluations commissioned by the CRPs and Centers. This basis is currently lacking, and most CRPs are moving to put systems and personnel in place both for monitoring and evaluation. A preliminary analysis was undertaken by the IEA of the studies which CRPs and Centers considered to be evaluative over the last five years. Our analysis showed that coverage of these studies is not at all comprehensive of the work of CRPs. Many of the studies also have little or no evaluation content. This renders the part of the IEAs work in supporting the development of evaluation capacity and providing common standards and guidance, even more crucial.

The need for information and evidence on the continued validity of the CRP impact pathways (theories of change) and progress from research within CRPs has also come to the fore in the light of the request expressed by the Consortium CEO, in consultation with the Fund Office, to have more evidence to support appraisal in the second call for funding of CRPs. Such evidence would be required by mid-2015. This is in addition to the appraisal of the CRP pre- and full proposals to be done by the ISPC. It is evident that it is too early in the life of CRPs to have substantial results from research begun at the start of the CRPs and comprehensive documentation of such results. However, data can be available on research lines carried forward into the CRPs from previous Center work.

The IEA under current plans would make available by September 2015:

- completed evaluations of CRP-FTA, WHEAT, MAIZE, PIM and CCFAS;

<sup>8</sup> FTA, PIM, WHEAT, MAIZE, CCAFS, Livestock and Fish, Aquatic systems, RTB, WLE, GRiSP

<sup>9</sup> CRP 1.1. Dryland; CRP 1.2. Humid Tropics; CRP 3.5. Grain Legumes; CRP 3.6. Dryland Cereals CRP 4: Nutrition and Health

- inception reports and some additional documentation on CRPs: Livestock and Fish, AAS, RTB, WLE and GRiSP.

If the IEA were to provide support to CRPs, beyond what are planned as regular IEA activities in ECoP, for CRPs to organise a series of self-commissioned reviews to feed into the process of CRP second call approval and funding, either additional resources would need to be allocated starting in 2014 or the totality of independently commissioned IEA evaluations would need to be reduced.

Total funding requirement to support the planned work programme is US\$2.658 million for 2014. If further support were to be provided to CRPs as discussed above, an estimated additional US\$ 100,000 would be required or the the number of CRP evaluations initiated during 2014 will have to be reduced from four to three. No change is proposed to the 2013 level of IEA staffing.

**Table 1: Summary of funding requirements to support planned work programme in 2014**

<b>Expense Item</b>	<b>2014</b>
<b>IEA activities</b>	<b>1,815,000</b>
<b>Personnel inputs</b>	<b>753,000</b>
<b>Travel and operating expenses</b>	<b>90,000</b>
<b>TOTAL</b>	<b>2,658,000</b>
Additional support to CRPs for 2015 second call for funding	<b>100,000</b>
<b>TOTAL including 2nd call</b>	<b>2,758,000</b>

## 2. Introduction

This document presents the activities of the Independent Evaluation Arrangement (IEA) in 2014 of the resources required to implement them. It should be read in conjunction with the IEA Rolling Evaluation Work Plan (REWP) that presents the overall IEA framework and medium-term plan of which these activities form a part. The activities are structured along the lines of the IEA main outputs: (i) IEA evaluations; and (ii) activities aiming to strengthen evaluation by CRPs and Centers in the CGIAR System. The last section budgets the resources required to fulfill the workplan for 2014.

## 3. Planned IEA Evaluations

### 3.1 Completion and dissemination of evaluation and reviews started in 2013

The final report of the CGIAR Research Programs (CRP) Governance and Management Review will be completed in January 2014, and a number of dissemination events will be organized with a view to leveraging the usefulness of the review to direct stakeholders.

During the first trimester of 2014, the evaluation team for the CRP on Forests, Trees and Agro-forestry (CRP-FTA) will complete the last research site visits, and the draft report. The final report is expected to be completed by April 2014 and the CRP management follow-up response by May 2014.

### 3.2 CRP evaluations planned for 2014 and justification for prioritizing them

In addition to considering criteria and justification for each CRP individually, the IEA chose a complement of CRPs which will enable lessons to be drawn on the reform across CRPs.

#### *CRPs WHEAT and MAIZE*

Both these CRPs are led by CIMMYT and include nearly all of CIMMYT's work. There is one main CGIAR partner in each (IITA for MAIZE and ICARDA for WHEAT) in addition to several other Centers participating<sup>10</sup>. These two CRPs have been prioritised for early evaluation because:

- as these are long-term breeding centred programs, they carry on the CIMMYT (IITA and ICARDA, respectively) research pipeline from the past, providing a reasonable timeline in which to start assessing results;

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<sup>10</sup> Maize: CIAT, ICRISAT, IFPRI, ILRI, IRRI and ICRAF. Wheat: Bioversity, ICRISAT, IFPRI, ILRI, IRRI and IWMI



- there has been no comprehensive review of CIMMYT's work since the External Program and Management Review (EPMR) of 2004 which also provides some elements of a baseline;
- CIMMYT's share of the total budget is dominant 65% for maize (IITA-11%) and 61% for wheat (ICARDA 21%)<sup>11</sup>.

Therefore, two criteria were given high weight in prioritizing these CRPs for evaluation: the timing of CIMMYT's last EPMR (final year covered 2004), and the share of the lead Center budget of the total accumulative 3-year CRP budget. In addition, evaluating the new program-based partnerships among the key Center partners is timely, due to some concerns raised in the past in EPMRs. It is expected that evaluating the two CRPs in parallel will result in efficiency and saving.

As both CRPs are led by CIMMYT, there will be considerable efficiency gains in conducting the evaluations simultaneously, calling on less senior management time and allowing some elements of the evaluations to draw on common material and human resources.

The MAIZE CRP, approved in April 2011 (3-year budget USD 162 million—conservative scenario—of which 22% from Windows 1-3), aims to contribute to the doubling of productivity in maize-based farming systems, making them more resilient and sustainable and significantly increasing farmers' incomes and livelihood opportunities, without using more land.

The WHEAT CRP, approved October 2011 in revised form (3-year budget USD 114 million—conservative scenario—of which 22% from Windows 1-3), aims to build on the input, strength, and collaboration of public and private sector partners to catalyze and lead a highly-distributed virtual global network, which will improve productivity and food security in wheat-based cropping areas of the developing world.

### *Policies, Institutions and Markets (PIM)*

The PIM CRP was approved in December 2011 (3-year budget USD 265 million, of which 53% from Windows 1-3, and IFPRI's share of total budget 62%). This CRP has been prioritised for evaluation because:

- the lead Center, IFPRI, has a major proportion of its activities within the CRP and ten years has passed since the EPMR of 2004, which may provide some elements of a baseline for on-going work continued into the CRP;
- the CRP was revised twice before approval in 2011, and is expected to benefit from an evaluation that is looking at the way the CRP is bridging the past into a new programmatic agenda;
- the CRP has a large number of Center partners (ten) and can also make a thematic contribution to all the other CRPs.

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<sup>11</sup> According to original CRP proposals

### *Climate Change, Agriculture and Food Security (CCAFS)*

The CCAFS CRP was approved in November 2010 (3-year budget USD 216 million) and it builds on a CGIAR Challenge Program approved in 2008. CIAT is the lead Center. The CRP aims to address the increasing challenge of climate change for food security and agricultural policies and practices through strategic collaboration between the CGIAR and Future Earth. All CGIAR Centers are included in the CRP and a substantial proportion of the budget, 33%, is allocated to non-CGIAR partners.

The evaluation will provide general lessons on research implementation through multi-partner programs. Given its start as a challenge program, the CRP provides a longer time frame for assessment of the programmatic approach than is the norm with CRPs. Its sustainability-oriented research agenda complements the three other CRPs to be evaluated in 2014. An evaluation of CCAFS will also give the CGIAR an opportunity to assess the coverage of climate-related research for timely advice regarding the overall CGIAR research agenda.

### **3.3 Preparatory work for CRP evaluations planned to take place in 2015**

Providing that the REWP is approved, preparatory work will start from mid-2014 for the following CRPs: Livestock & Fish, Aquatic Agricultural Systems (AAS), Roots, Tubers and Bananas (RTB), Water, Land and Ecosystems (WLE) and the Global Rice Science Partnership (GRiSP).

Table 2 below summarizes the schedule of IEA's work related to IEA evaluations planned to take place in 2014.

**Table 2: Schedule of Evaluations 2014**

	2013		2014												2015		
CRP Evaluation	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
<b>Review &amp; Evaluation 2013 Final Reports</b>																	
Gvt &Mgt Review																	
CRP-FTA																	
<b>CRP Evaluation 2014</b>																	
<b>WHEAT</b>																	
Preparatory work																	
Inception phase																	
Conduct of evaluation																	
Draft/final report																	
<b>MAIZE</b>																	
Preparatory work																	
Inception phase																	
Conduct of evaluation																	
Draft/final report																	
<b>CCAFS</b>																	
Preparatory work																	
Inception phase																	
Conduct of evaluation																	
Draft/final report																	
<b>PIM</b>																	
Preparatory work																	
Inception phase																	
Conduct of evaluation																	
Draft/final report																	
<b>CRP evaluation 2015 Preparatory Work</b>																	
Livestock&Fish																	
AAS																	
RTB																	
WLE																	
GRiSP																	

## 4. Strengthening evaluation across the CGIAR

### 4.1 Evaluation Community of Practice

Future activities for the ECoP, including those to be carried out in 2014, will be agreed at the launch workshop. These are likely to comprise:

- knowledge sharing activities: through webinars (three to four in 2014), web discussions and regular updates. This will involve resources on approaches and methods for evaluation and evaluation management, and an on-line forum facilitated by the IEA to provide *ad-hoc* support and advice;
- an annual meeting: face to face interaction is deemed essential to build and strengthen relationships;
- training events, some of which will be linked to the annual meeting;
- a central database of evaluation reports from studies carried out across the CGIAR.

Once the network is established at the end of 2013, the IEA, as part of its leadership role for the ECoP, will ensure that the appropriate web-based platforms and technology are available. The IEA will ensure support and coordination as required by the network at large.

### 4.2 Coordinating Evaluation Plans

In 2014, the IEA will actively engage in supporting the CRP evaluation plans. This will involve:

- working with CRP evaluation managers and governance structures who have plans for evaluations to strengthen evaluation design and implementation so they fulfil the quality requirements set on CRP commissioned evaluations (CCEEs) as building blocks for CRP evaluations;
- working with all CRPs to agree on CCEEs which will come in support of the IEA REWP 2014-17, building on the gap analysis of older evaluative studies in CRPs with priority given for CRPs which will be evaluated in 2015, and those for which specific studies will be conducted in 2016 (see REWP);
- providing advisory support on Terms of Reference (TOR) and evaluation processes for evaluations commissioned by the CRPs as required;
- discussing and agreeing with Consortium and the Standing Panel on Impact Assessment (SPIA) with respect to:
  - (a) providing technical support for individual studies;
  - (b) quality assurance/meta evaluation for different types of studies;

(c) linking monitoring and evaluation data requirements more clearly.

#### **4.3 Capacity of CRPs to carry out Verification Studies to feed into Appraisal of CRP Proposals for the second call for funding 2015**

The issue of strengthening evaluation capacity of CRPs has also come to the fore in the light of the request expressed by the Consortium in consultation with the Fund Council Office to have more evidence, required by mid-2015, to support appraisal in the second call for funding of CRPs. Such a request is dependent on the CRP capacity to commission and conduct evaluative studies on CRP progress and on previous research lines which have continued into CRPs.

It is evident that it is too early in the life of CRPs to have substantial results from research begun at the start of the CRPs and comprehensive documentation of such results. However, in addition to conducting studies to verify the continued validity of the CRP planned impact pathways (theories of change), CRPs can consolidate available data on research lines carried forward into the CRPs from previous Center work and may commission additional studies of those research lines.

If the IEA were to provide additional strengthening to CRPs to provide more evidence on progress and achievements by mid-2015, either additional resources will need to be allocated starting in 2014, or the totality of independently commissioned IEA evaluations will need to be reduced.

## **5. Other activities**

### *Follow-up to Evaluation*

An important set of activities relates to enhancing follow-up to evaluations and to including guidance for evaluation follow-up systems, interactions with decision-makers to help setting up these systems, and work through the ECoP and its members to promote use of and learning from evaluation. In 2014 this will involve the following activities:

- organize dissemination events;
- liaise with the Consortium, Fund Council through the Evaluation and Impact Assessment Committee (EIAC) and Management on final evaluation and reviews;
- promote follow-up of CRP-FTA evaluation, CRP Governance and Management Review and GCP review;
- refine standard on follow-up system to evaluation.

### *Communication and liaison*

Other activities initiated in 2013 will continue to be carried out on a routine basis. These include:

- communication: IEA website maintenance; newsletter; evaluation briefs;
- IEA databases: evaluative studies; expert roster;
- liaising with System entities, in particular with SPIA and the Consortium;
- engaging in professional networks.

### *The Quality Assurance System*

It is also expected that the Quality Assurance Advisory Panel (QAAP) and the external Quality Control of individual evaluations established in 2013 will continue in 2014.

## **6. IEA Budget Requirements for the IEA**

### **6.1 Budget requirements for 2014**

Table 3 summarizes the expected budget situation at the end of 2013 and the budget requirements to implement the activities planned for 2014.

The total budget amounts to USD 2.658 million for 2014. The largest part of the budget relates to the core activities of the IEA, that is the CRP evaluations, with personnel cost remaining minimal.

#### *Evaluations*

The cost of a CRP evaluation is estimated to be of USD 400 000 in average, including the cost of the evaluation team experts and related travel expenses. The costs vary for each evaluation depending on the number of participating centers, the extent to which the research is “field-based”, the range of disciplines required in the team, etc. Careful attention will be given to optimize evaluation budget when planning and designing evaluations. In 2014, the evaluations of CRP-WHEAT and CRP-MAIZE will be held back-to-back, allowing synergies between the two teams in addressing common aspects. The total budget for CRP evaluation is estimated to be of USD 1.65 million.

#### *Strengthening evaluation across the CGIAR*

The cost of supporting decentralized evaluation and the ECoP is estimated to be of USD 120 000. This includes the cost of the annual ECoP workshop (circa USD 50 000 based on the 2013 model and experience). It is expected that the IEA will play an increasing role in supporting decentralized evaluations. In addition to the ECoP and joint coordination and planning for evaluations, the IEA will provide quality assurance and hence direct support to CRP commissioned evaluations (CCCE)s: this will require intensive dialogue with all the Center and CRP focal points. In 2013, these activities have been mostly carried out by a senior evaluation consultant. In 2014, the support to developing and implementing CRP

evaluation plans will be increasingly provided by the IEA staff, while support to the ECoP will continue to be carried out by a consultant.

If further support is required to CRPs in order to initiate more intensive work on verification studies for impact theories of change, and a more intensive program of studies to facilitate appraisal of the second call in 2015, an additional USD 100 000 is estimated to be required in 2014. This would cover preparation of guidance and support in developing frameworks and ToRs by a senior consultant.

### *Other Activities*

A total of USD 45 000 is allocated for short-term consultants, including: experts of the QAAP and external quality scoring (USD 30 000); communication and other *ad hoc* expert support for webinars, research across CRP evaluation, etc. (USD15 000).

### *Institutional cost*

In 2014, the IEA team will remain the same as in 2013, with conduct of evaluations contracted to external consultants. The IEA team includes two full-time senior professionals and one administrative assistant. In addition, the team will be supported by two full-time junior consultants, the main work of whom will focus on support to individual evaluations. An overall budget of USD 70 000 is allocated for travel of IEA team. This includes: attending System-level meetings (ISPC, Fund Council meetings, workshops), all travel by IEA team relating to evaluation planning and participating in professional networks meetings.

**Table 3: Summary of expected budget expenses as at 2013 and budget requirements for 2014**

<b>Expense Item</b>	<b>2013 Budget</b>	<b>2013 Expenditure *</b>	<b>Projected Balance as at 31/12/13</b>	<b>2014</b>
<b>IEA activities</b>				
1. Support to Evaluations	400,000	403,957	-3,957	1,650,000
2. Strengthening evaluation across the CGIAR - ECOP workshop - Support to decentralized Evaluation	100,000	113,283	-13,283	120,000
3. Quality Assurance System	25,000	24,122	878	30,000
4. Other activities	-	15,540	-15,540	15,000
<b>Sub-Total</b>	<b>525,000</b>	<b>556,901</b>	<b>-31,901</b>	<b>1,815,000</b>
<b>Personnel inputs</b>			-	
Professional **	385,000	323,485	61,515	498,000
Administrative Support***	115,000	98,375	16,625	110,000
Consultants	220,000	117,323	102,677	145,000
<b>Sub-Total</b>	<b>720,000</b>	<b>539,183</b>	<b>147,364</b>	<b>753,000</b>
<b>Travel</b>	100,000	48,520	51,480	70,000
<b>Operating Expenses</b>	50,000	15,081	34,919	20,000
<b>Overhead charges</b>	-		-	
<b>Sub-Total</b>	<b>150,000</b>	<b>63,601</b>	<b>86,399</b>	<b>90,000</b>
<b>TOTAL</b>	<b>1,395,000</b>	<b>1,159,685</b>	<b>201,862</b>	<b>2,658,000</b>
Additional support to CRPs for 2015 second call for funding				100,000
<b>TOTAL including 2nd call</b>				<b>2,758,000</b>

\* 2013 Figures include estimates to 31/12/2013 (Travel of professional staff and one field evaluation travel).

\*\* Budget for Professional staff foresaw recruitment at 01/01/13 whereas due to administrative reasons professional staff was recruited from 01/10/2013.

\*\*\*Budget for Administrative staff foresaw recruitment at 01/01/13 whereas due to administrative reasons administrative staff was recruited from 01/07/2013 - cost include charge for Temporary Assistance.