



Evaluation of the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS)

Volume II – Annexes

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Independent
Evaluation
Arrangement

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ANNEX A: CCAFS EVALUATION TIMELINE

MAIN EVENTS	PERIOD/DATE	ACTIVITIES	PEOPLE INVOLVED
PREPERATORY and INCEPTON PHASE	Oct 2014 – Feb 2015		
Preparatory Phase		<ul style="list-style-type: none"> Finalizing ToR Recruitment of Evaluation Team Establishment of Reference Group 	IEA
1st RG consultation (by e-mail)	27 Oct 2014	<ul style="list-style-type: none"> Feedback on draft ToR 	RG + IEA
Attendance of CCAFS meetings, Washington	28 – 31 Oct 2014	<ul style="list-style-type: none"> Observing PMC meeting, ISP meeting Identifying together with CCAFS management the key evaluation issues 	Simon Anderson
Inception meeting, Rome	10 – 13 Mar 2015	<ul style="list-style-type: none"> Work on evaluation methodology Start preparing the Inception Report Briefing on CCAFS program and interaction with CCAFS management 	IEA + ET + CCAFS
2nd RG consultation	28 May 2015	<ul style="list-style-type: none"> Feedback on draft Inception Report 	RG + TL + IEA
Final inception report	Jun 2015	<ul style="list-style-type: none"> Final inception report published on IEA homepage 	IEA
INQUIRY PHASE	Mar – Jun 2015		
Field visits		Key points covered:	
<ul style="list-style-type: none"> Kenya 	10 Apr – 6 May	<ul style="list-style-type: none"> Interaction with regional CCAFS management and researchers and partners Participation in CBA 9 conference Visit 2 CSVs 	Simon Anderson Fawad Khan
<ul style="list-style-type: none"> Senegal 	26 Apr – 2 May	<ul style="list-style-type: none"> Interaction with regional CCAFS management and researchers and partners Visit 3 CSVs in Kaffrine and inetrview with local partners and beneficiaries 	Carmenza Robledo
<ul style="list-style-type: none"> India 	15 – 28 May	<ul style="list-style-type: none"> Interaction with regional CCAFS management and researchers and partners Visit 3 CSVs in Haryana state and 2 CSVs in Ludhiana 	Fawad Khan Christian Roth
<ul style="list-style-type: none"> Vietnam Lao 	15-18 Jun 18-22 Jun	<ul style="list-style-type: none"> Interaction with regional CCAFS management and researchers and partners Visit 1 CSV near Hanoi and 1 CSV near Vientiane 	Christian Roth

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• Colombia	7- 16 Jun	<ul style="list-style-type: none"> • Interaction with regional CCAFS management and researchers and partners • 2 farm visits 	Simon Anderson Carmenza Robledo
Research staff survey	June 2015	<ul style="list-style-type: none"> • Design and piloting of survey • Conduct of survey 	ET + IEA
Other inquiry phase activities	June-Aug 2015	<ul style="list-style-type: none"> • Interviews with partners and stakeholders and external experts • Documentation review 	ET
ANALYSIS AND REPORTING PHASE	Jun -Oct 2015		
Synthesis of existing reviews/evaluations	June 2015	<ul style="list-style-type: none"> • Review of 10 reviews and evaluations • Synthesis of main findings 	IEA
Bibliometric analysis	June 2015	<ul style="list-style-type: none"> • Citation, journal frequency and H index analysis 	IEA
Analysis meeting in Edinburgh	24-26 June 2015	<ul style="list-style-type: none"> • Consolidation and verification of findings • Identification of information gaps 	ET + IEA + CCAFS representation
Publication review	July 2015	<ul style="list-style-type: none"> • Qualitative assessment of sample publications 	External panel (4 members)
Drafting of report 3rd RG consultation	July-Aug 2015	<ul style="list-style-type: none"> • Drafting of evaluation report 	ET RG + TL + IEA
Feedback and comments		<ul style="list-style-type: none"> • CCAFS management and RG provide feedback and comments 	CCAFS +RG
Incorporation of comments		<ul style="list-style-type: none"> • Review and revisions of draft report 	TL +IEA
Final Evaluation Report		<ul style="list-style-type: none"> • Final Evaluation Report incl. CCAFS management response submitted to CGIAR Fund Council 	IEA
Dissemination phase		<ul style="list-style-type: none"> • Communications products 	CCAFS + TL + IEA

ET= Evaluation Team, TL = Evaluation Team Leader.

ANNEX B: Evaluation team profiles

Simon Anderson is the Head of the Climate Change Group at the International Institute for Environment and Development. He has worked in international development for some 30 years, mainly on natural resources management and environmental change. His current research focus on climate change adaptation effectiveness and his expertise covers agro-economic systems and agricultural science as well as policy analysis, programme management and monitoring and evaluation. In 2009 he led Joint External Evaluation on the Operation of the Least Developing Countries Fund (LDCF) for adaptation to climate change. Simon previously worked for DFID as Research Manager and Evaluation Advisor and was also a Principal Research Fellow at Imperial College. Simon has a PhD Agricultural Science from the University of London.

Fawad Khan is CEO and founder of Institute for Social and Environmental transition in Pakistan, a non-profit research institute. He focuses on the evaluation of adaptation effectiveness, economics of adaptation strategies, community based local adaptation planning, and exploring factors contributing to resilience. His areas of expertise are the economics of climate change in South and South East Asia, community based adaptation, and monitoring and evaluation. Fawad previously worked as an Institutional Development Specialist for the World Bank in South Asia, a Senior Coordinator on Monitoring and Evaluation for the International Union for Conservation of Nature and has over 20 years' experience as a development consultant. He holds an MSc from the Faculty of Economics at the London School of Economics and Political Science in UK, a BSc from the School of Engineering and Applied Sciences at Columbia University and a BA in Liberal Arts from Middlebury College in USA.

Carmenza Robledo has almost 20 years experience on climate change and sustainable management of natural resources in developing countries. In her work she combines scientific research, policy advice and project implementation. She has project experience in Latin America, Africa and Asia, as well as experience advising international organizations including ITTO, FAO, World Bank, UNDP, UNEP, CIFOR, GEF, UNFCCC Secretariat or IUCN. She participated in the Fifth Assessment Report of the IPCC as a Lead Author in the Working Group III - mitigation - and as a reviewer in the Working Group II – Vulnerability and adaptation. During the period 2013-14 she was member of the FTA evaluation team, where she was responsible for climate change as well as for gender issues. Carmenza has a PhD in geography from the University of Stuttgart.

Christian Roth over 30 years of research experience in tropical land and water management. He is currently working with CSIRO's Land and Water Flagship based in Brisbane, Australia. Over the last twelve years, his main focus has been designing, commissioning and conducting inter- and transdisciplinary research for development programs and projects in Australia, South and South-East Asia in water resource management, climate change adaptation, smallholder farming systems and conservation agriculture. He has also led or participated in a range of research project and program evaluations in Australia and Asia. His main research interests reside in integration of social sciences and biophysical research to influence the research for development agenda in South and South-East Asia, specifically in the domains of

climate adaptation and agricultural development. He has published his research extensively in about 180 publications and research reports. Christian has a PhD in soil hydrology from the University of Göttingen.

ANNEX C: Existing review and evaluations consulted

Reviews conducted by donors, the consortium, auditors and the Internal Evaluation Arrangement

- IAU Advisory PHASE I Review of CRP 7 – Climate Change, Agriculture & Food Security (CCAFS) (2015)
- EU review of CCAFS (2012)

CRP-Commissioned External Reviews (CCERs).

- Management and governance review (2013)
- Review of CCAFS Theme by region matrix management (2013)
- Theme 3 review (2014)

Core Team Commissioned Reviews

- Review of CCAFS Scenarios activities (2014)
- Theme 2 review on climate information services activities (2014)
- Review of capacity enhancement activities (2014)
- Evaluation of CCAFS Data and Tools (2014)
- CGIAR citations in IPCC reports: a summary report (2015)

ANNEX D: List of interviews conducted

Surname	Name	Gender	Position	Organization
Aggarwal	Pramod	Male	Regional Program Leader	CCAFS
Ampaire	Edidah	Female	Project Coordinator	IITA
Arango	Jacobo	Male	Scientist	CIAT
Aryal	Jeetendra	Male	Agricultural Economist	CIMMYT
Asekenye	Cresensia	Female	Research Associate	IITA
Bathily	Samba	Male	Deputy	Parliament of Senegal
Berre	David	Male	Farming System Agronomist,	CIMMYT
Bewket	Woldeamlak	Male	Associate Professor	Addis Ababa University
Bonilla	Osana	Female	FP1 assistant	CIAT
Bustamante	Mercedes	Female	Profesor	University of Brasilia
Campbell	Bruce	Male	Professor	University of Copenhagen/CCAFS
Cardozo	Carlos Ivan	Male	Scientist	Universidad Nacional de Palmira
Chacon	Adriana	Female	Climate change expert	CATIE
Chirinda	Ngoni	Male	Scientist	CIAT
Cong Lan	Vu	Male	?	National Institute of Agricultural Planning and Projection ...
Corner-Dolloff	Caitlin	Female	Climate Change Adaptation Specialist	CIAT
Crane	Todd	Male	Climate Adaptation Scientist	ILRI
de Pinto	Alex	Male	Scientist	IFPRI
Del Cid	Jose Miguel	Male	Climate change expert	Secretaria de Agricultura, Honduras - SAG
Diatta	Rama	Female	Deputy	Parliament of Senegal
Dieng	Mbaye	Male	Research Program Officer	LEAD Francophone Africa
Dieng	Talla	Male	Director	Radios Communataires
Dieye	Bounama	Male	Platform facilitator	Min Agriculture
Diouf	Birame	Male	n/a	Reseau Environment Developpement - CONGAD
Ericksen	Polly	Female	Programme Leader, Livestock Systems and Environment	ILRI
Escobar	Daniel	Male	Scientist	CIAT
Forch	Wiebke	Female	Science Officer	ILRI
Friis	Anette	Female	Head of Program Coordination-CCAFS	CCAFS

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Surname	Name	Gender	Position	Organization
Gathenya	John	Male	Associate professor	Maseno University
Giraldo	Diana	Female	Scientist	CIAT
Girvetz	Evan	Male	Climate Change and Soils	CIAT
Goel	SK	Male	Principal Secretary, (Agriculture and Marketing)	Government of Maharashtra
Gonsalves	Julian	Male	Senior Program Advisor	International Institute of Rural Reconstruction
Hanson	James	Male	Flagship Leader	CCAFS
Hellin	Jon	Male	Value Chain and Poverty Specialist	CIMMYT
Hillier	Jon	Male	Scientist	The University of Aberdeen
Hymann	Glenn	Male	Scientist	CIAT
Inthavong	Thavone	Male	Director	Agriculture and Forestry Policy Research Centre, Agriculture and Forestry Research Institute (NAFRI)
Jarvis	Andrew	Male	Director of the Decision and Policy Analysis Area	CIAT
Jarvis	Andy	Male	Flagship Leader	CCAFS
Jat	ML	Male	Soil Science,	IWMI
Jat	RK	Male	n/a	Borlaug Institute for South Asia
Jimenez	Manuel	Male	Climate change expert	Consejo Agropecuario Centroamericano - CAC
Joarmahir	Babacar Sene	Male	Director	Agropasteur (farmers newspaper)
Joshi	PK	Male	n/a	IWMI
Joshi	Pramod K	Male	Director for South Asia	IFPRI
Keophosay	Anousith	Male	Research Officer	IWMI
Khatri Chhetri	Arun	Male	Science Officer	IWMI
Kinyangi	James	Male	Regional Program Leader	CCAFS
Kishur	Avinash	Male	Associate Research Fellow	IFPRI
Kumar	Suresh	Male	Addl. Director Agriculture	Extension, Haryana
Lacombe	Guillaume	Male	Senior Researcher – Hydrologist	IWMI
Ladha	JK	Male	Principal scientist for soils and agronomy research	IRRI
Lien Huong	Do	Female	Head, Strategy and Policy Research Division	IPSARD
Loboguerrero	Ana Maria	Female	Regional Program Leader	CCAFS
Londono	Sebastian	Male	Owner and manager	Family Farm San Jorge
Lopez-Ridaura	Santiago	Male	Agronomist	CIMMYT

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Surname	Name	Gender	Position	Organization
Majumdar	Kaushik	Male	Director	IPNI South Asia
Martinez	Daissy	Female		CCAFS
Martinez Baron	Deissy	Male	Scientific Coordinator	CCAFS
Mathieu	Henri	Male	Professor	University Cheikh AntaDiop
Mathur	Prem	Male	Regional Director (ad interim)	Bioversity
Meincke	Holger	Male	Professor	University of Tasmania
Mittal	Surabhi	Female	Agricultural Economist	CIMMYT
Mixay	Somsanouk	Male	Vice President	Lao Journalists Association
Molina	Carlos Hernando	Male	Owner and manager	Family Farm El Hatico
Mude	Paul	Male	Researcher	ILRI
Ndiaye	Cheikh Tidiane	Male	Deputy	Parliament of Senegal Centre de Suivi Ecologique - CSE
Ndione	Jacques-Andre	Male	Head of Research	ANACIM
Ndiyae	Ousama	Male	Head of Climate Change	ANACIM
Neufeld	Henry	Male	Focal contact point	ICRAF
Ngoc Quyen	Luu	Male	Deputy Head	NOMAFSI
Nguyen	Hung	Male	Senior Scientist	ILRI
Nguyen	Duong	Female	Vietnam Coordinator	Redraw The Line Media
Nhuong	Tran	Male	Scientist	WorldFish
Nyangaga	Julius	Male	Consultant	Right Track Africa
Nyasimi	Mary	Female	Gender and Policy Specialist	CCAFS
Oyou,	Anthony	Male	Researcher	ICRISAT
Parker	Louis	Male	Crop and Climate Modelling	CIAT
Pavelic	Paul	Male	Principal Researcher – Hydrogeology	IWMI
Phengvichith	Vanthong	Male	Deputy Director General	NAFRI
Phongoudome	Chanhsamone	Male	Deputy Director General	NAFRI
Plapallil	Shri Joseph	Male	Managing Director	Agriculture Insurance Company of India Limited
Radney	Maren	Female	Science Officer	ILRI
Rao	Kolli	Male	Crop Insurance Industry Expert	n/a
Recaman	Liliana	Female	link between NGO/empresa de acueducto	Fundacion Rio Piedras
Recha	John	Male	Participatory Action Research (PAR) Specialist	ILRI
Rice	Chuck	Male	Profesor	University of kansas
Robinson	Lance	Male	Environmental Governance and Resilience Specialist	ILRI

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Surname	Name	Gender	Position	Organization
Rosenstock	Todd	Male	Agroecologist	ICRAF
Roswal	Tomas	Male	n/a	In pension
Sall	Moussa	Male	Scientist/Agroeconomist	ISRA: Institute senegalese de recherches agricoles
Sandoval	Jose Manuel	Male	National Coordinator of the Colombian Low Carbon Development Strategy	Ministry of Environment and Sustainable Development - MADS
Sane	Oumar	Male	Director de l'Agriculture	Min Agriculture
Sanogo Diaïte	Diaminatou	Female	Scientist/focal point ICRAF	ISRA: Institute senegalese de recherches agricoles
Sapkota	Tek	Male	Agricultural Systems/Climate Change Mitigation	CIMMYT
Sarr	Ousmane Fall	Male	Chairmann	Senegalese National Climate Change Committee - COMNAC
Sarre Diouf	Madeleine	Female	Climate Change Unit	Min Environment
Sebastian	Leo	Male	Regional Program Leader	CCAFS
Seck	Madieng	Male	Director	Agri Infor (farmers newspaper)
Sharma	DK	Male	Director	Central Soil Salinity Research Institute (ICAR)
Sidhu	BS	Male	Punjab Commissioner Agriculture	
Sidhu	HS	Male	Senior research engineer	BISA
Sikka	Alok	Male	DDG	ICAR
Simelton	Elizabeth	Female	Climate Change Scientist	ICRAF
Singh	Rajbir	Male	Zonal Project Director	ICAR
Smith	Pete	Male	Profesor	University of Aberdeen
Tapasco	Jeimar	Male	Scientist	CIAT
Thi Sen	Pham	Female	Head of the Science and International Relations Department	NOMAFSI
Thiam	Djibril	Male	Coordinator	AGRECOL Afrique (NGO)
Thiao	Ibrahima Paul	Male	Regional coordinator	Federation de Organisationen Non Gouvernementales du Senegal - FONGS
Thioye	Yoro Idrissa	Male	Counsellier en Politique Agricole	Conseil national de concertation et de coopération des ruraux - CNCR
Thornton	Phil	Male	Flagship Leader	CCAFS

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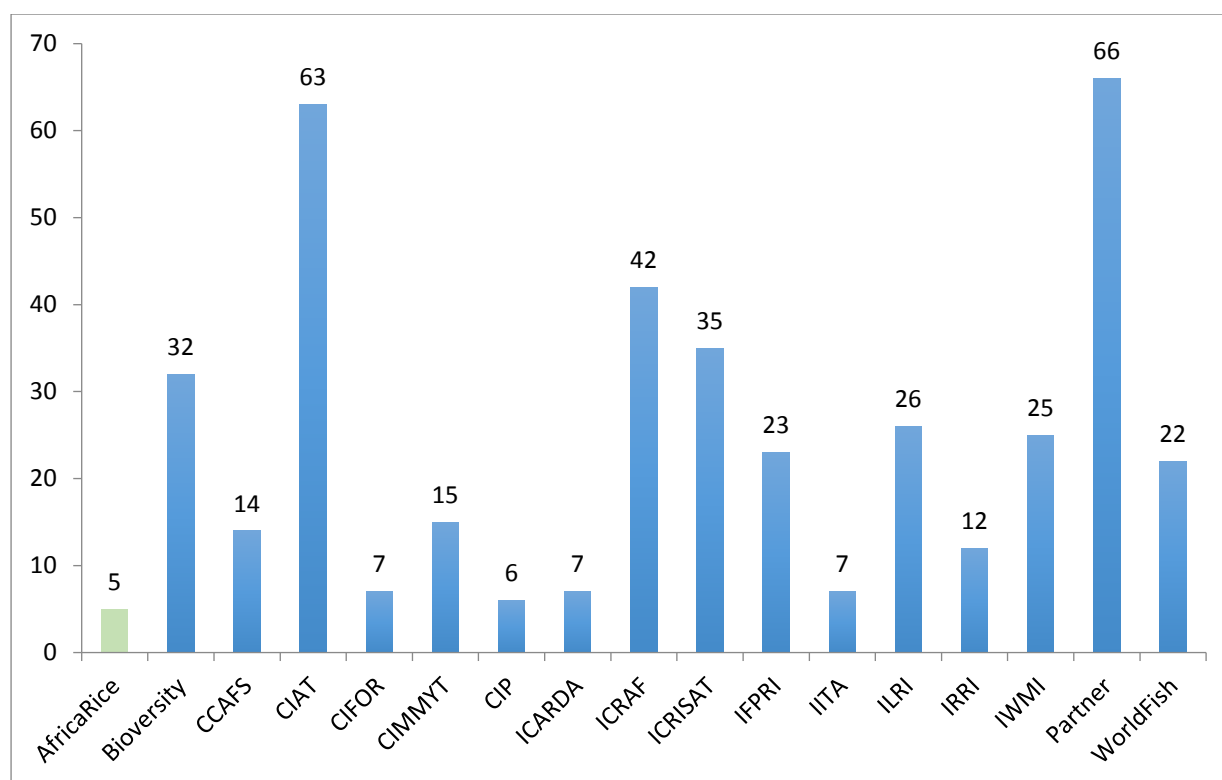
Surname	Name	Gender	Position	Organization
Van Son	Duong	Male	Lecturer	Thai Nguyen University
Van Trinh	Mai	Male	Agricultural expert	Institute for Agricultural Environment
Veeger	Marieke	Female	Scientist	Universidad para la Cooperacion Internacional - UCI
Vermeulen	Sonja	Female	Head of Research	CCAFS
Vidal, PhD	Alain	Male	Strategy Director a.i. & Senior Partnerships Advisor	CGIAR Consortium
Vinh	Bui	Male	n/a	CIAT
Wassmann	Reiner	Male	Coordinator of Climate Change Research	IRRI
Whitbread	Anthony	Male	Scientist	ICRISAT
Wollenberg	Lini	Female	Flagship Leader	Univ. of Vermont/CCAFS
Zaidi	PH	Male	n/a	CIMMYT
Zougmore	Robert	Male	Regional Program Leader	ICRISAT/CCAFS

ANNEX E: CCAFS RESEARCHER SURVEY – RESULTS

1. OVERVIEW

	No of researchers
Sent out (2 June)	407
Responses:	158
In %	38.8%
Complete responses by mid July	128
In %	31.4%

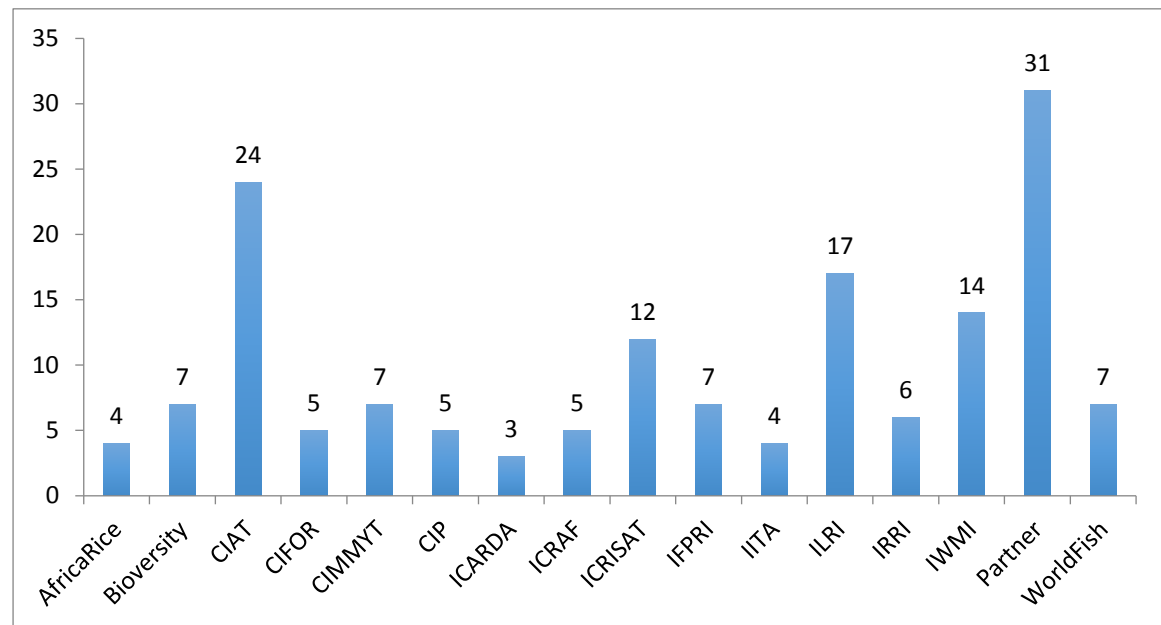
Composition of researchers by home institution (total 407):



2. RESULTS

PART I: INTRODUCTION

Figure 1: QUESTION 1: Please indicate your home institution



Composition of researchers:

	TOTAL SENT	%	TOTAL RESPONDED	
AfricaRice	5	1%	4	3%
Bioversity	32	8%	7	4%
CCAFS	14	3%	n/a	
CIAT	63	15%	24	15%
CIFOR	7	2%	5	3%
CIMMYT	15	4%	7	4%
CIP	6	1%	5	3%
ICARDA	7	2%	3	2%
ICRAF	42	10%	5	3%
ICRISAT	35	9%	12	8%
IFPRI	23	6%	7	4%
IITA	7	2%	4	3%
ILRI	26	6%	17	11%
IRRI	12	3%	6	4%
IWMI	25	6%	14	9%
Partner	66	16%	31	20%
WorldFish	22	5%	7	4%
TOTAL	407		158	

Figure 2: QUESTION 2: Please indicate your gender

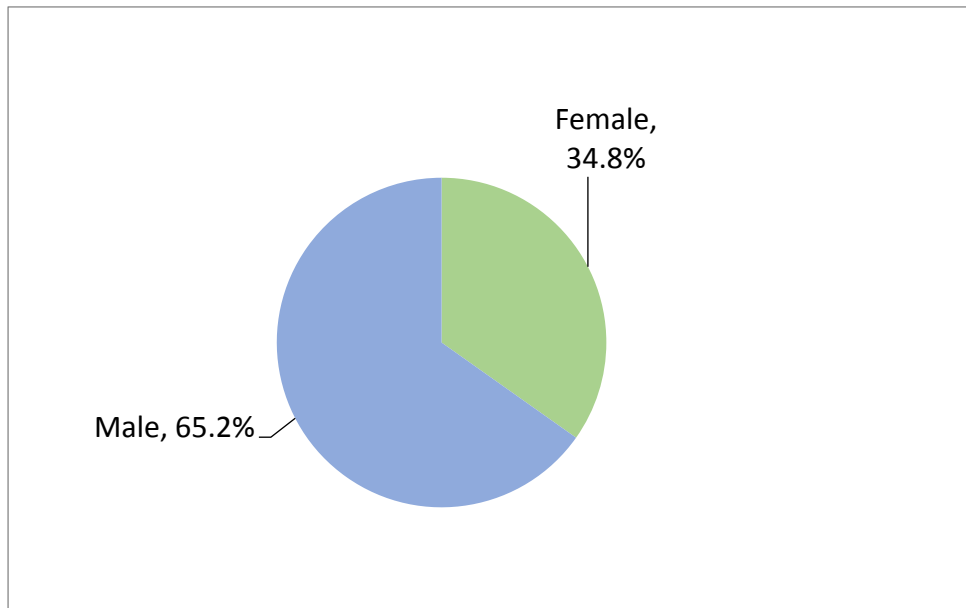
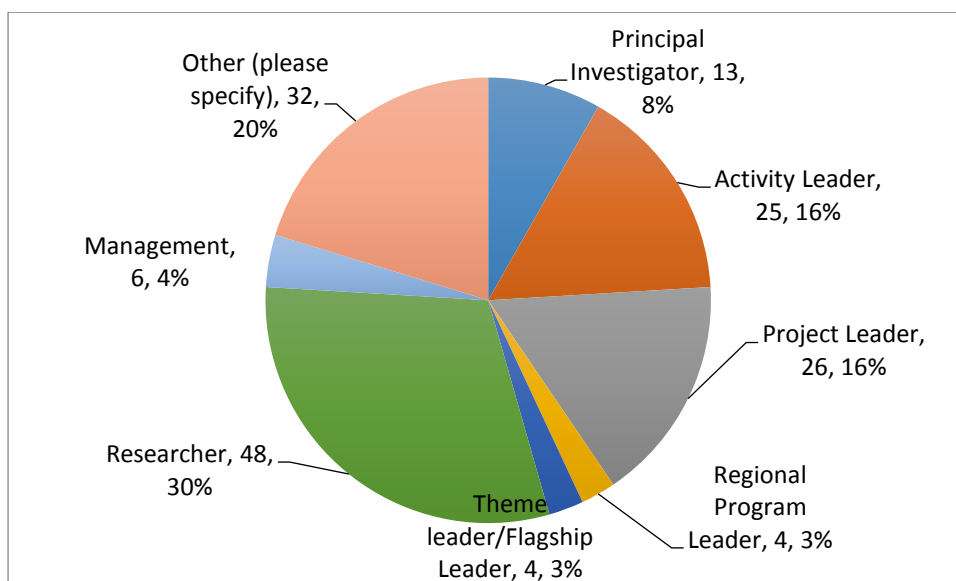


Figure 3: QUESTION 3: What is your role within CCAFS?



Other:

Science Officer Focal Point Partner Contact Point
Communication Support Consultant

Figure 4: QUESTION 4: In what discipline/field is your highest level of academic education?

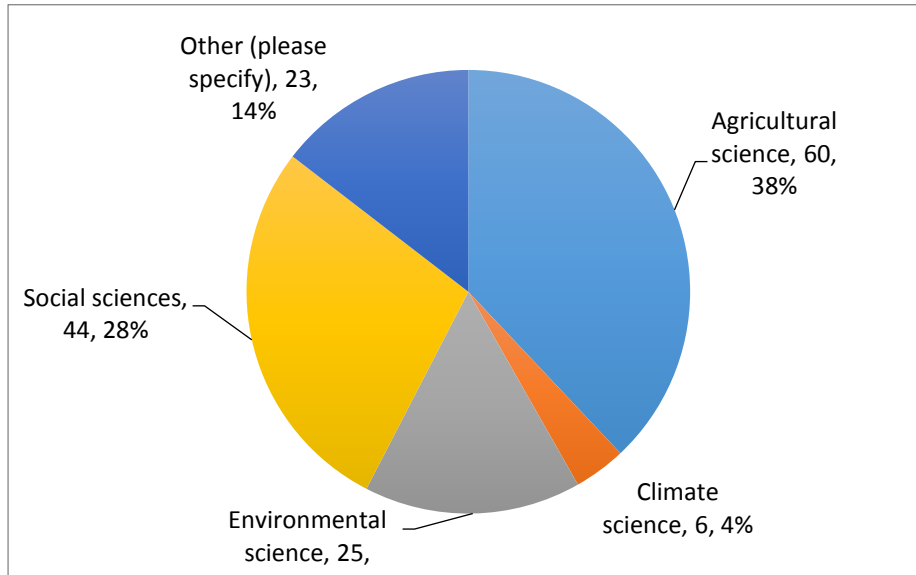
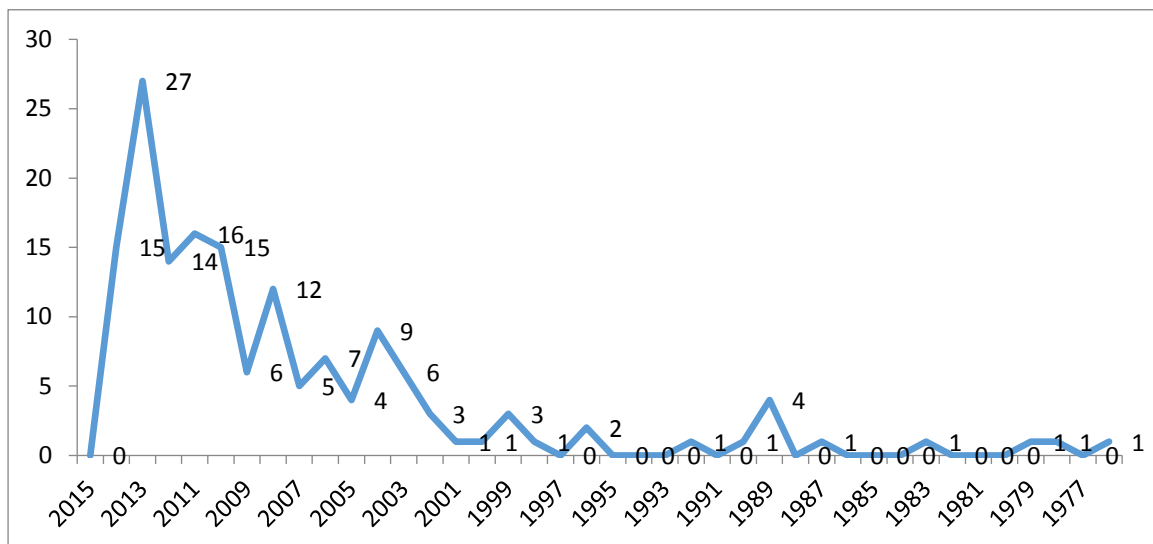


Figure 5: QUESTION 5: Since when have you been working with your current organization? Please indicate the year you joined



CONSOLIDATED

2011-2015	72
2009-2010	21
pre 2010	71

Table 1: QUESTION 6: In what country are you currently based?

COUNTRY	Answers
Kenya	23
Colombia	19
United States	17
India	15
Philippines	10
Indonesia	5
Peru	5
Benin	4
Costa Rica	4
Denmark	4
Ethiopia	4
Sri Lanka	4
United Kingdom	4
Australia	3
Malaysia	3
Mali	3
Uganda	3
Bangladesh	2
Burkina Faso	2
Germany	2
Italy	2
Laos	2
Morocco	2
Senegal	2
Vietnam	2
Zimbabwe	2
Canada	1
China	1
France	1
Ghana	1
Jordan	1
Mexico	1
Nepal	1
Netherlands	1
Niger	1
South Africa	1

PART II: YOUR INVOLVEMENT IN CCAFS

Figure 6: QUESTION 7: For which CRP(s) do you currently work? Please estimate the

proportion of your total working time spent on each CRP.

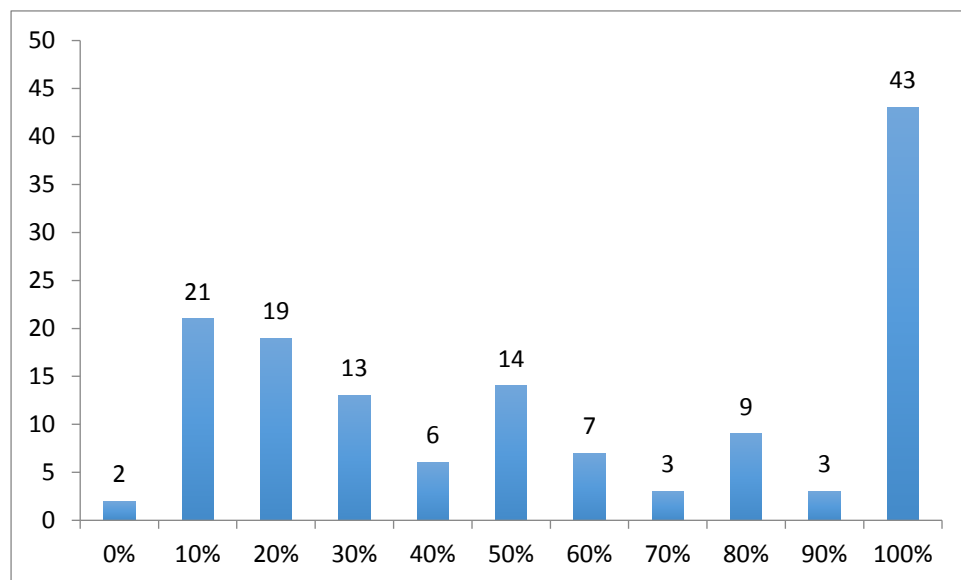


Figure 7: QUESTION 8: CCAFS is organized around four Flagships and a cross-cutting theme on gender. To which do most of your own research activities contribute? (Indicate only one.)

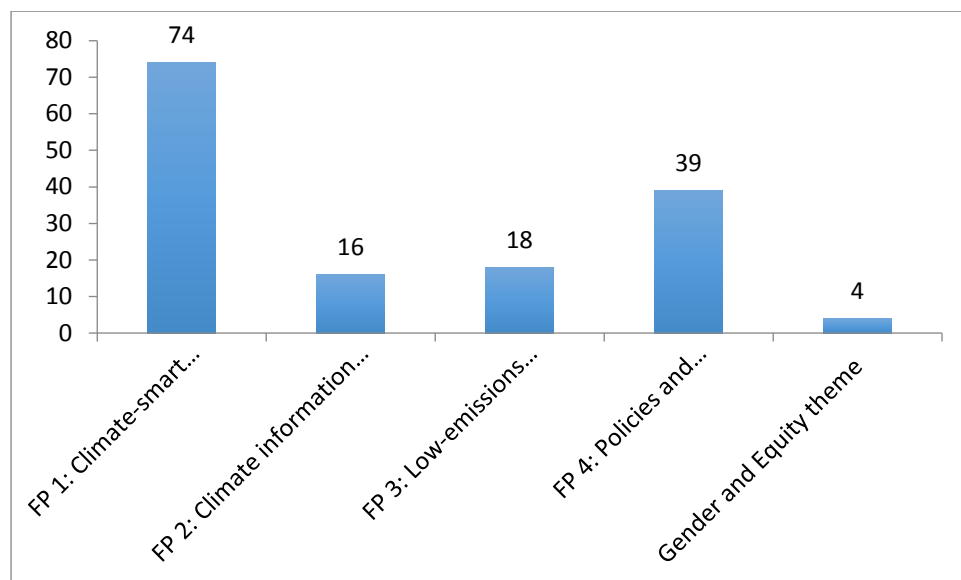


Figure 8: QUESTION 9: To which additional Flagships do you also contribute? (Indicate all

that apply.)

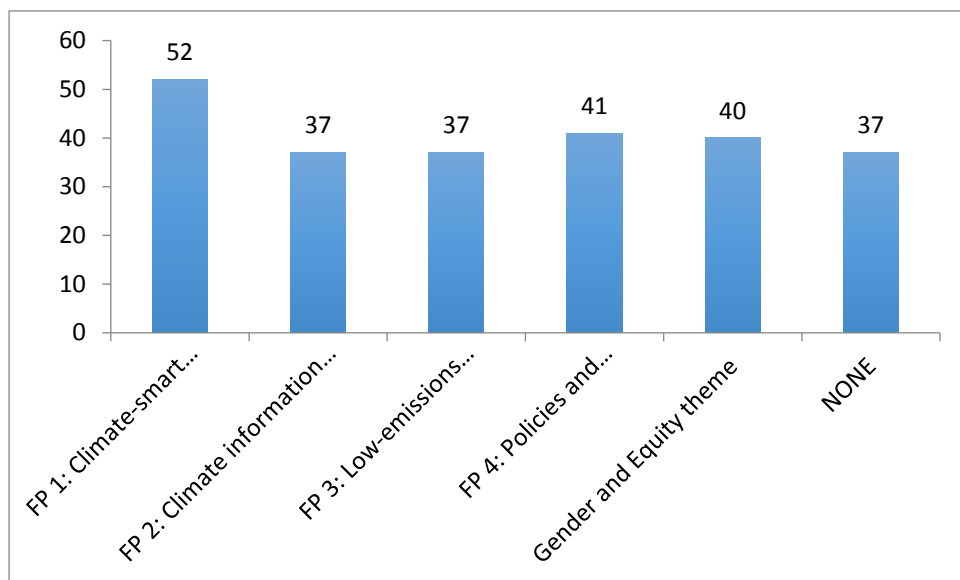


Figure 9: QUESTION 10: Which entity/organization do you primarily identify with?

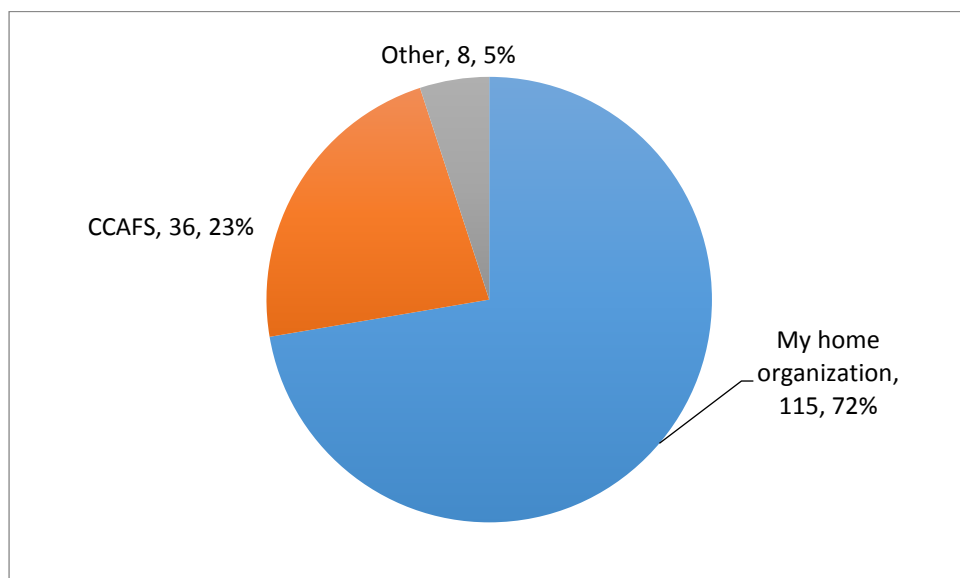
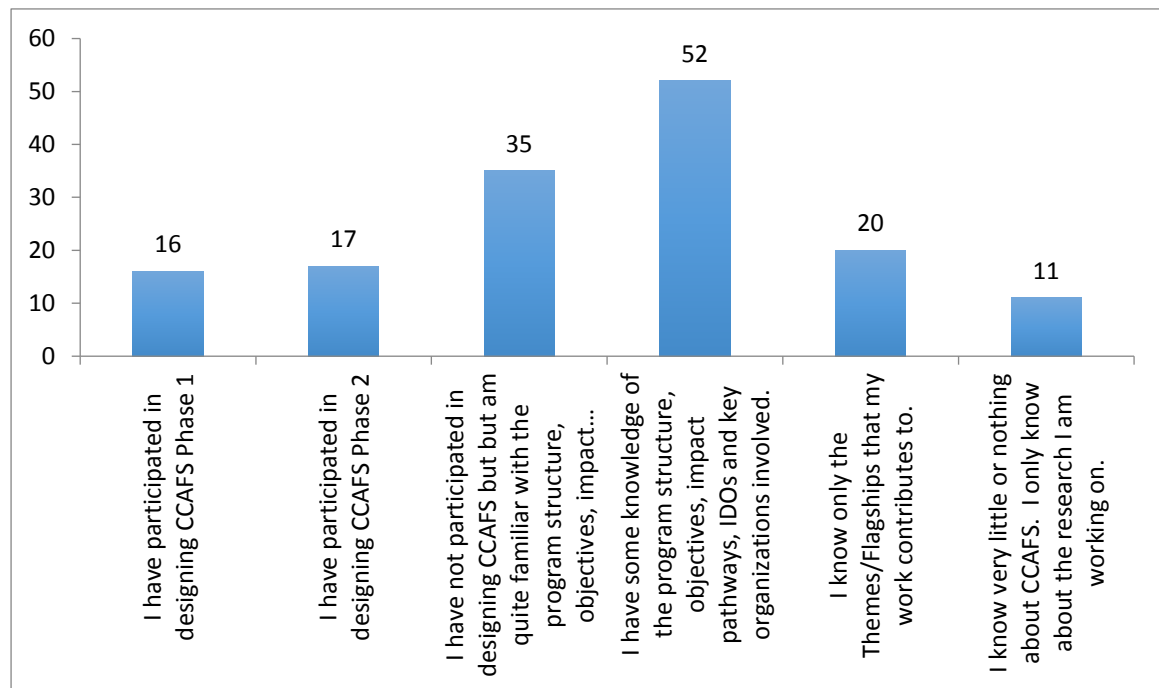


Figure 10: QUESTION 11: How well do you know CCAFS?



PART III: YOUR RESEARCH

Figure 11: QUESTION 12: What is your perception of the factors influencing the choice of research topics in the Flagship you mostly work for?

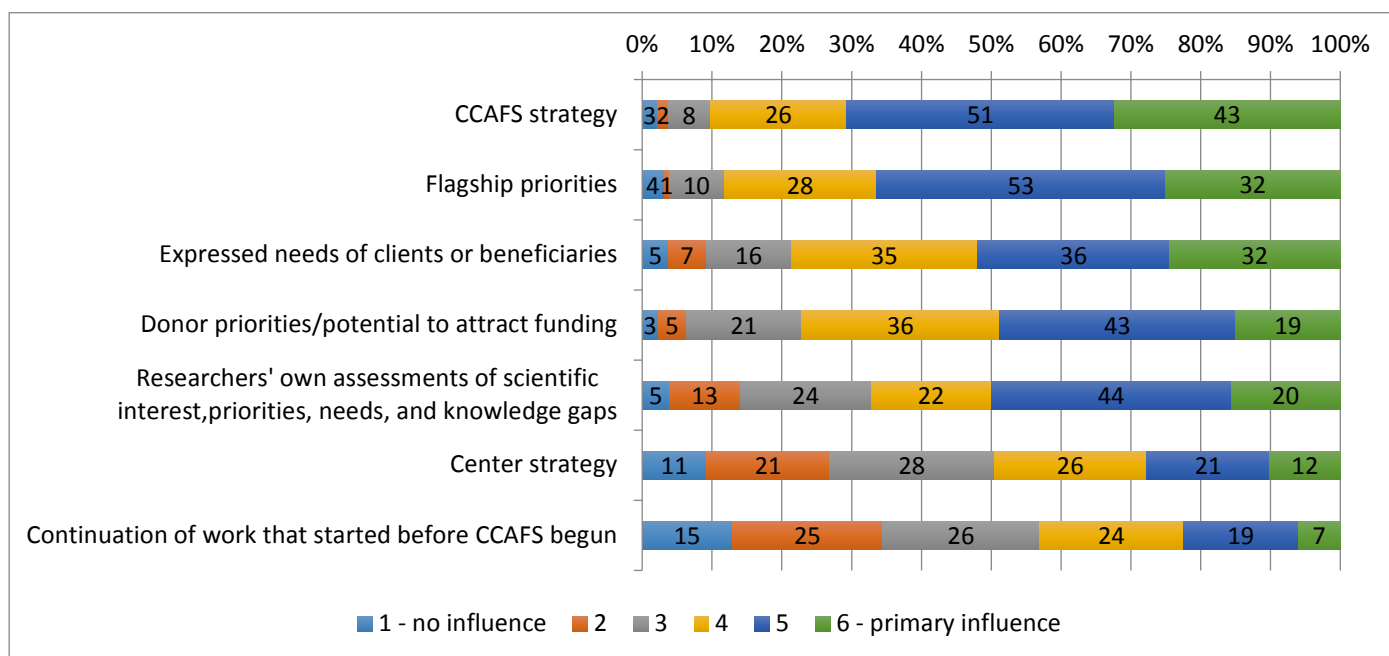
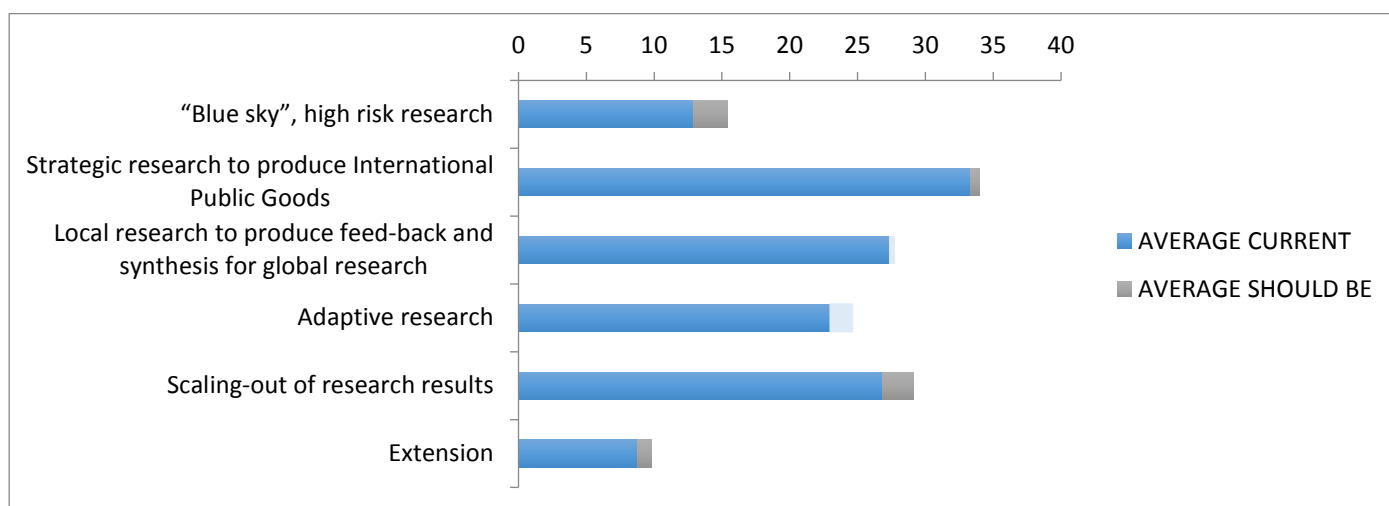


Figure 12: QUESTION 13: Regarding the balance among different kinds of activities in the CCAFS Themes you mostly contribute to, please indicate in percentages your perception of the current balance; and whether emphasis should be changed.



Note: For local research and adaptive research the current average was rated higher than for the other options.

Figure 13: QUESTION 14: Are you familiar with the different funding sources of CCAFS (W1/2 and W3 and bilateral funding)?

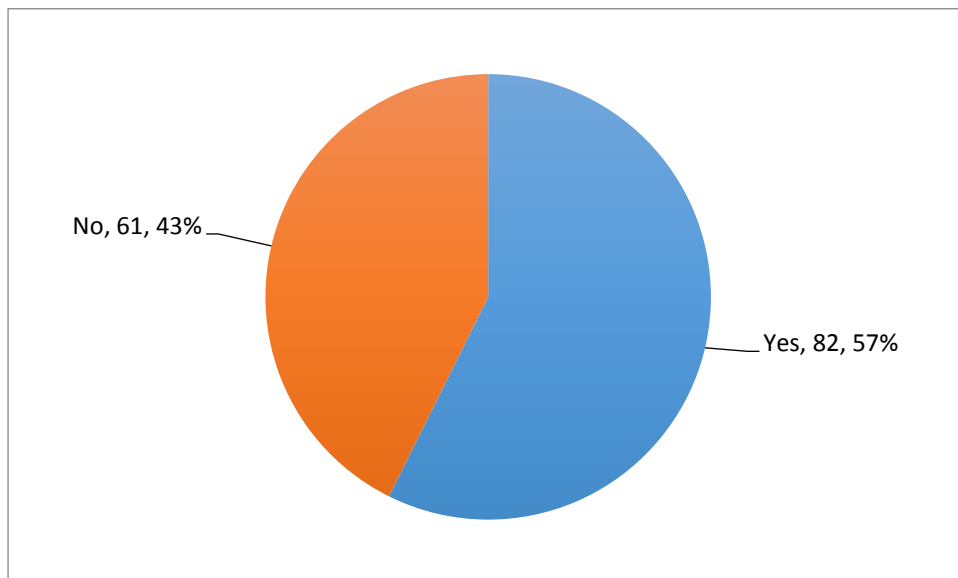
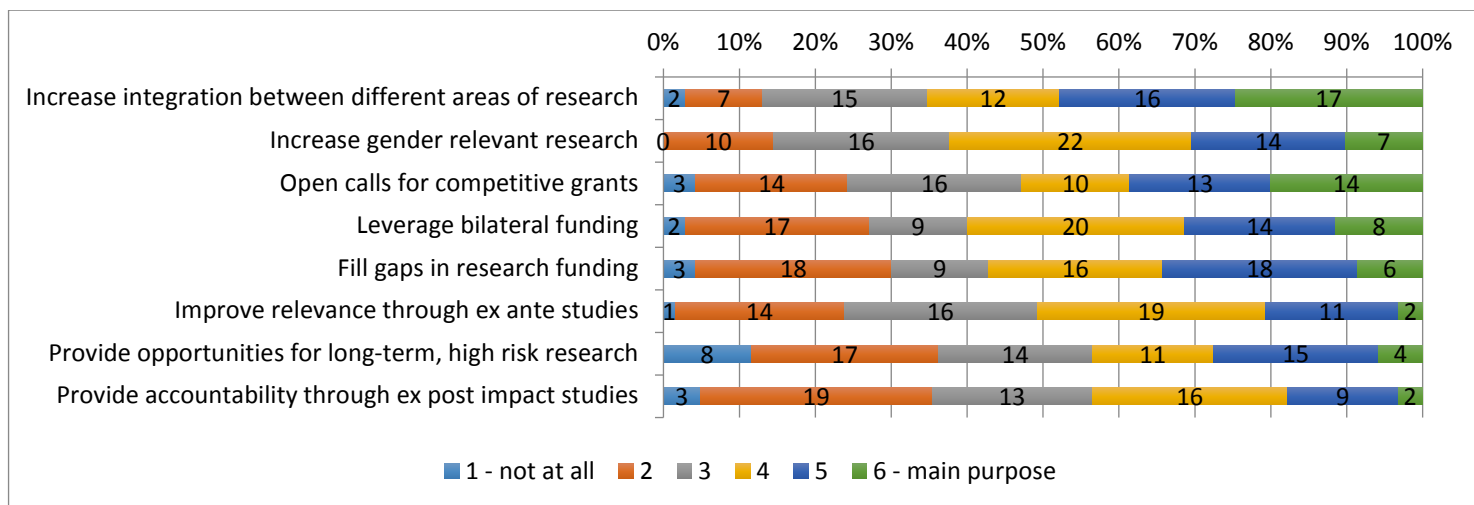


Figure 14: QUESTION 15: CCAFS receives funding from different sources where the Windows 1 and 2 are of least restricted type. What is your view of how W1/2 funds are used in CCAFS?



Note: only answered by those people who had "YES" as a response for Question 14

Figure 15: QUESTION 16: In your view, how well are the following aspects managed in CCAFS for enhancing effectiveness of research?

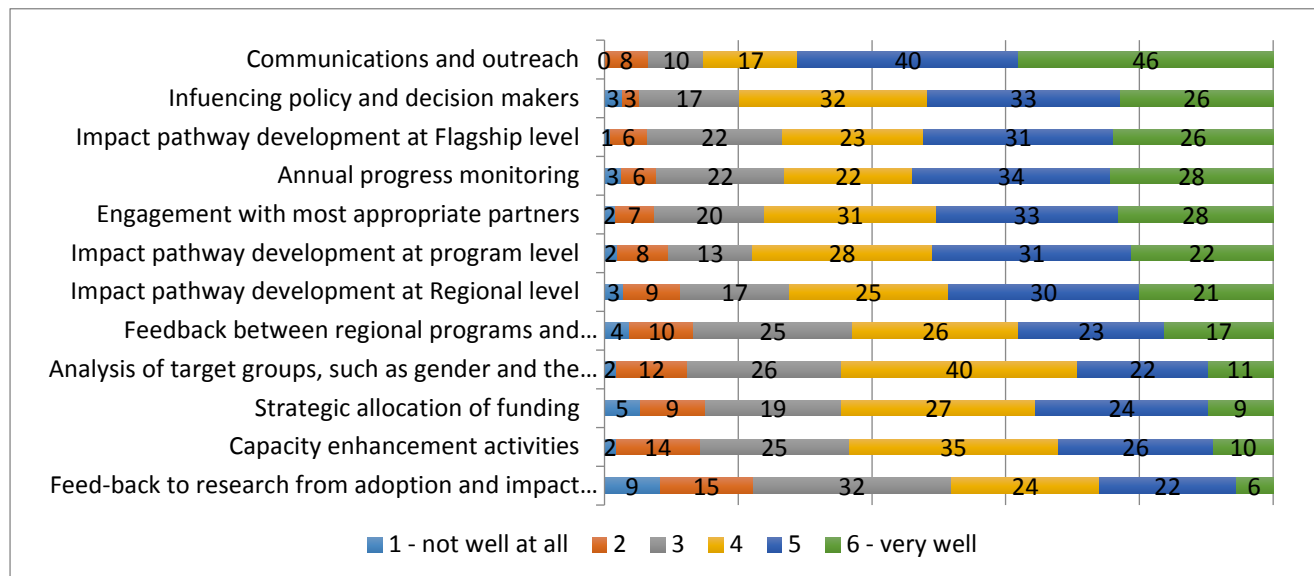


Figure 16: QUESTION 17: How well have you been trained/prepared in Theory of Change (ToC) and Impact Pathway (IP) thinking prior to the proposal development for Phase 2?

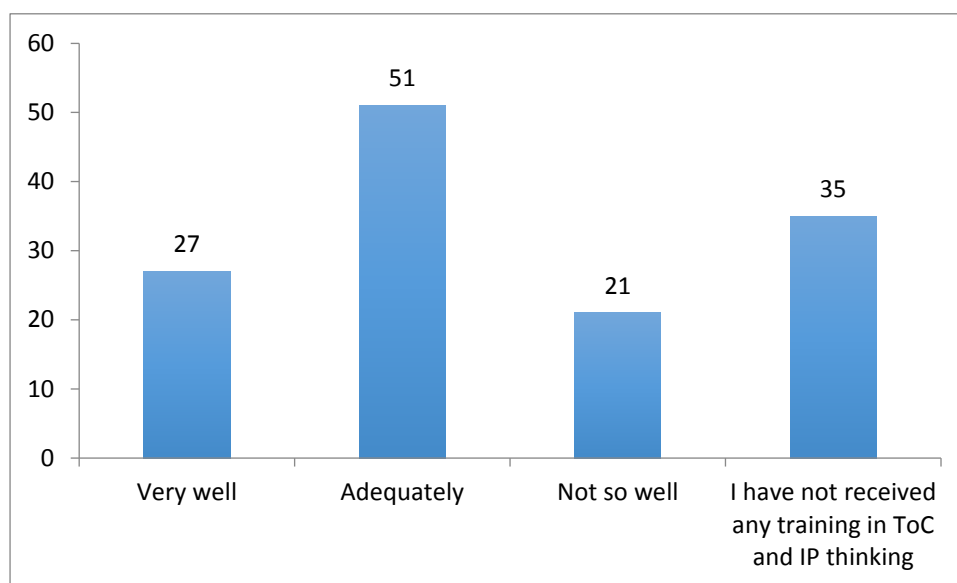


Figure 17: QUESTION 18: To what extent have your research teams developed explicit impact pathways for your individual research projects?

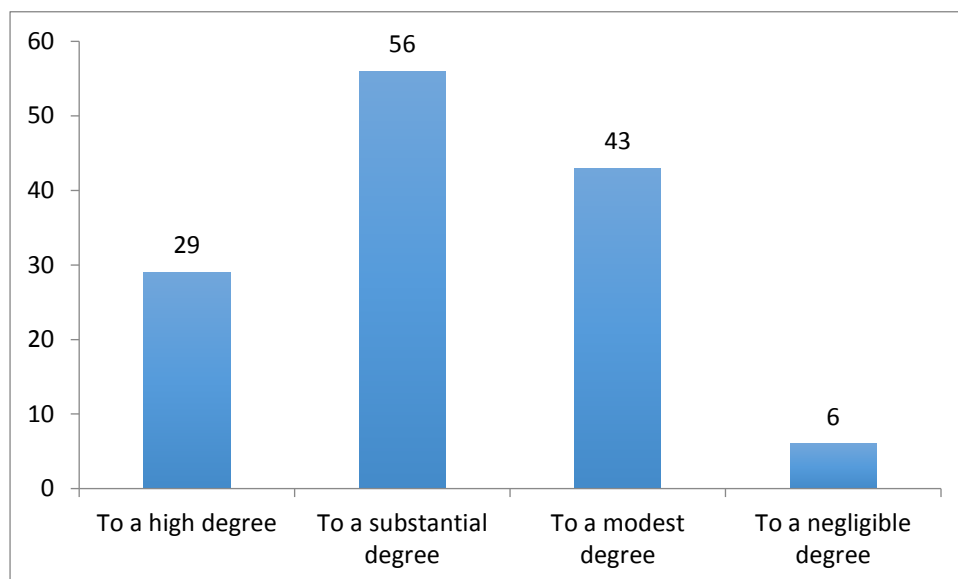


Figure 18: QUESTION 19: In your view, what are the primary impact pathways for research through which CCAFS aims to have impact? Please score using a scale where 1=not important at all and 6=primary impact pathway.

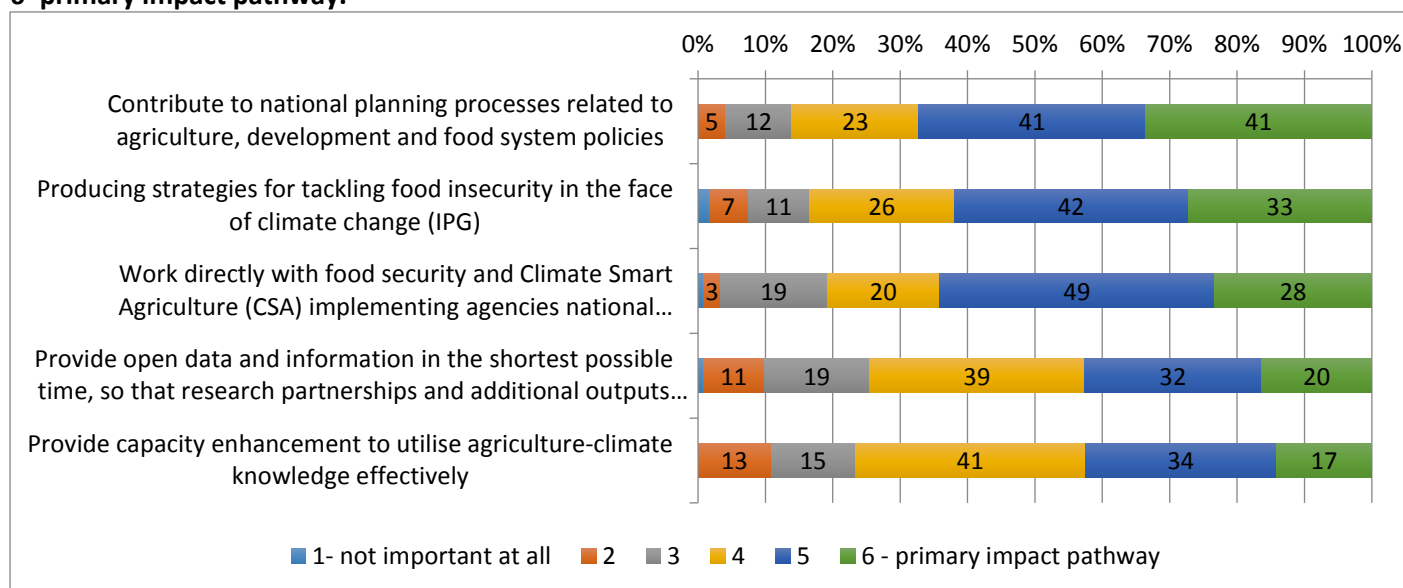
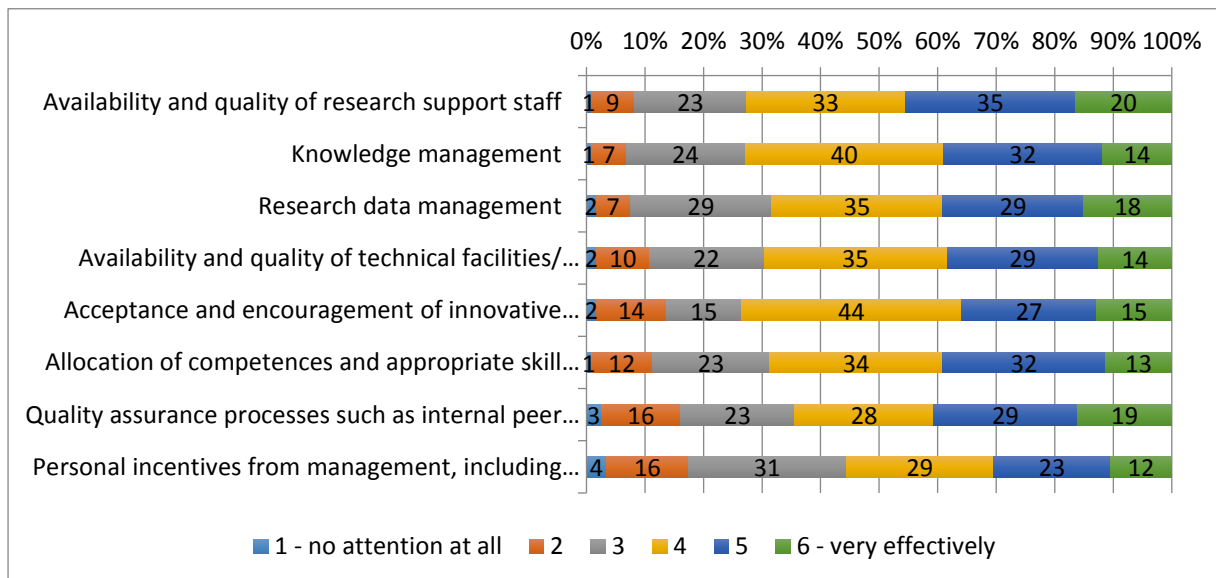


Figure 19: QUESTION 20: In your view, how effectively are the measures listed below managed in your Center/CCAFS for assuring and enhancing high quality of research?



PART IV. PARTNERSHIPS, GENDER AND CAPACITY ENHANCEMENT

Figure 20: QUESTION 21: Please indicate how important different partners, as listed below, are for the work you do

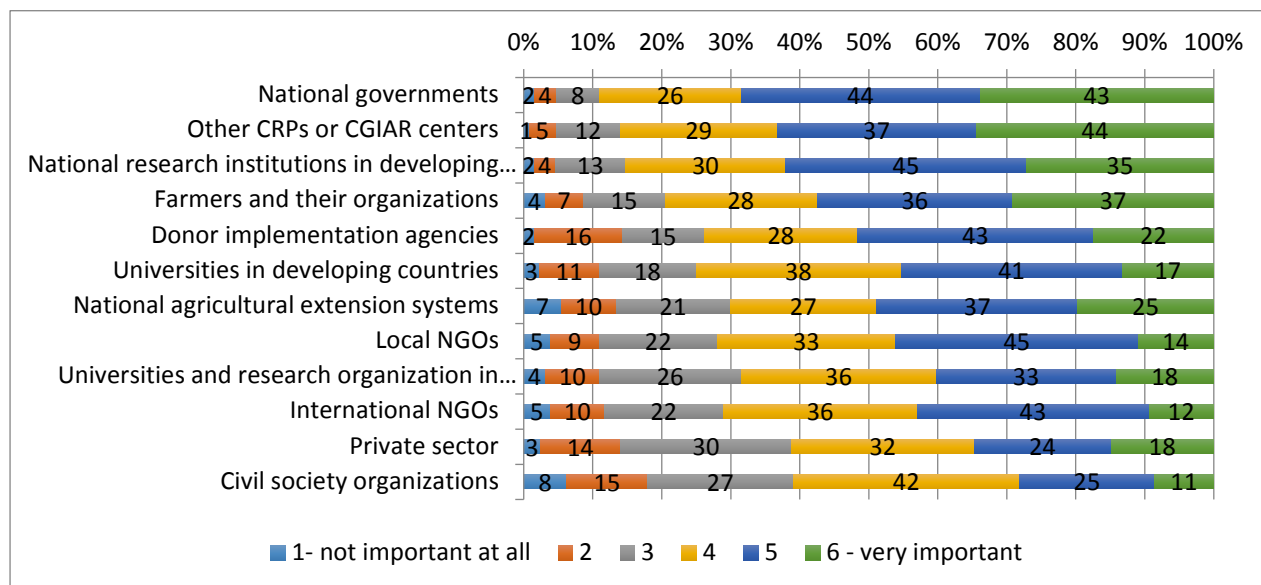


Figure 21: QUESTION 22: In your view, to what extent are your partners in CCAFS involved in Program activities as listed below?

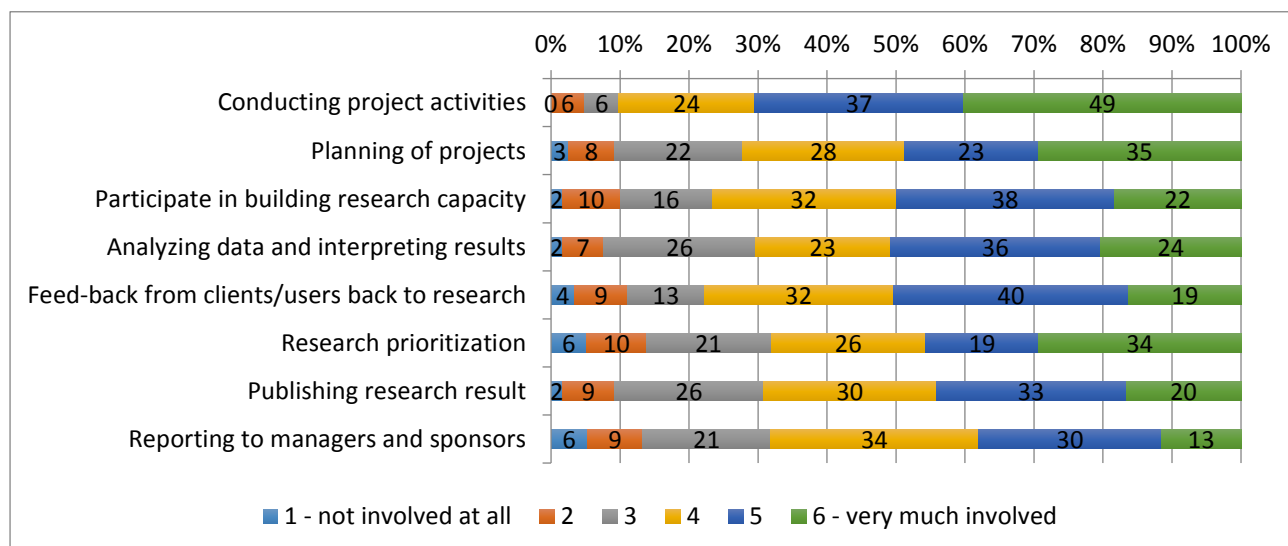
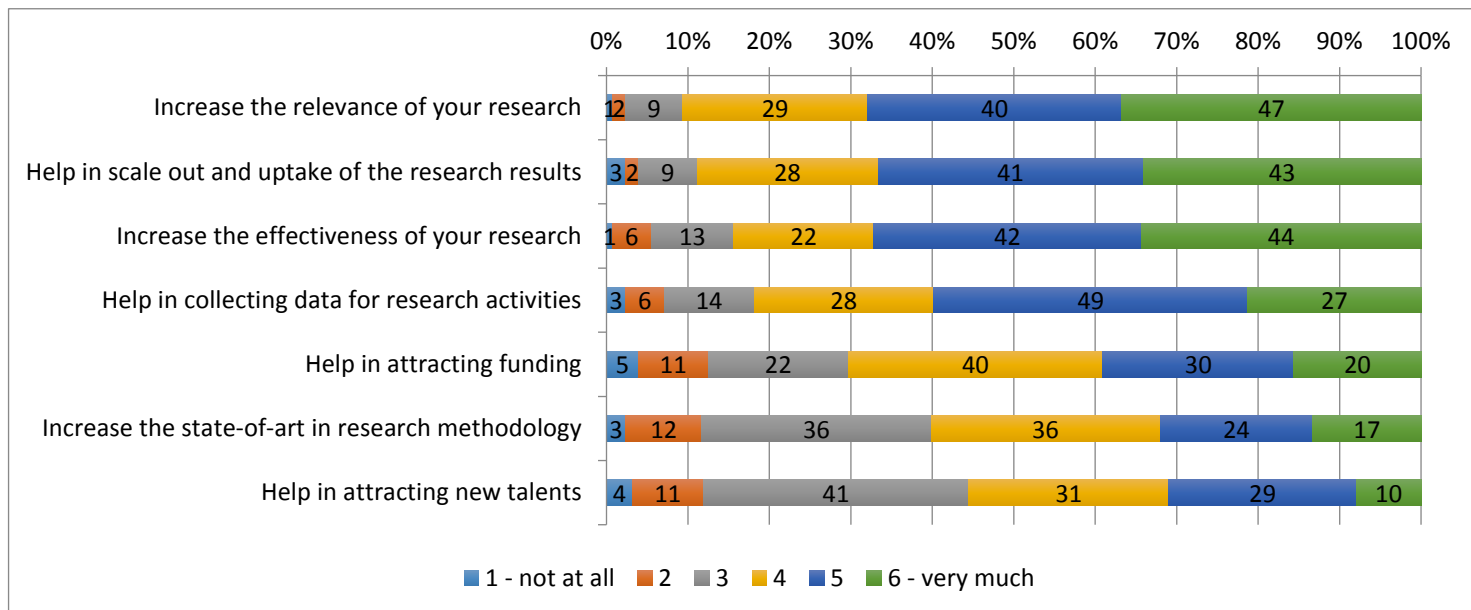


Figure 22: QUESTION 23: In your view, to what extent do the current partnerships increase the likely effectiveness of your research in areas listed below?



QUESTION 24: Please elaborate to what extent do these partnerships add value that outweighs the time and effort of managing the partnerships?

Open question

Figure 23: QUESTION 25: Please indicate your agreement with the following statements that relate to partnerships

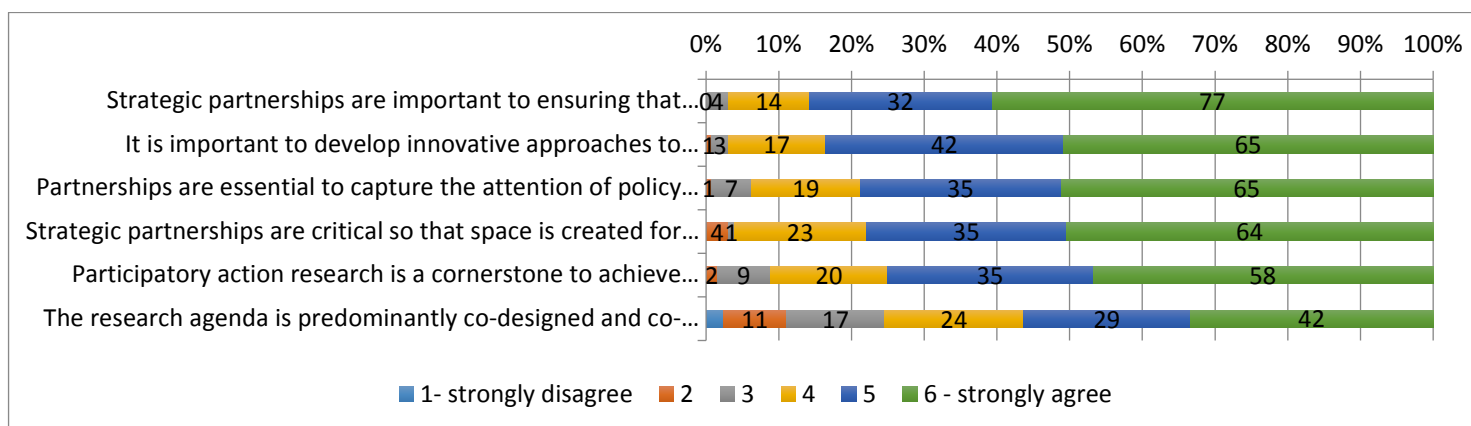
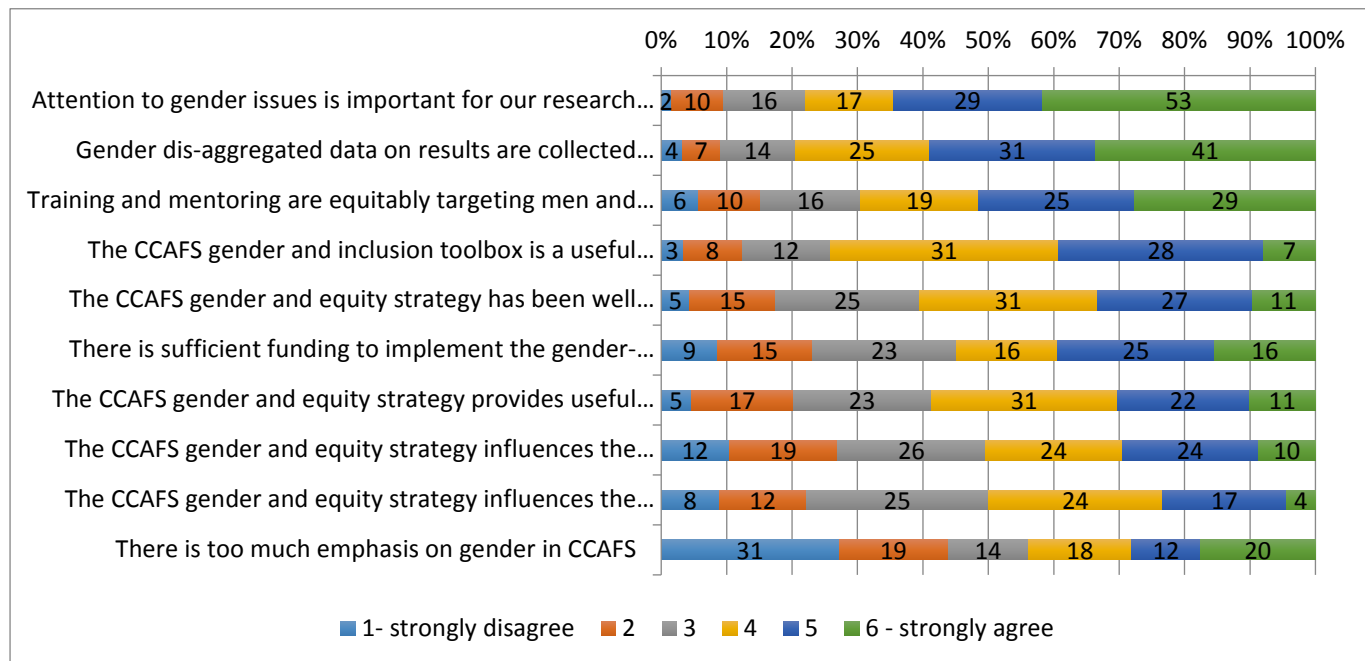


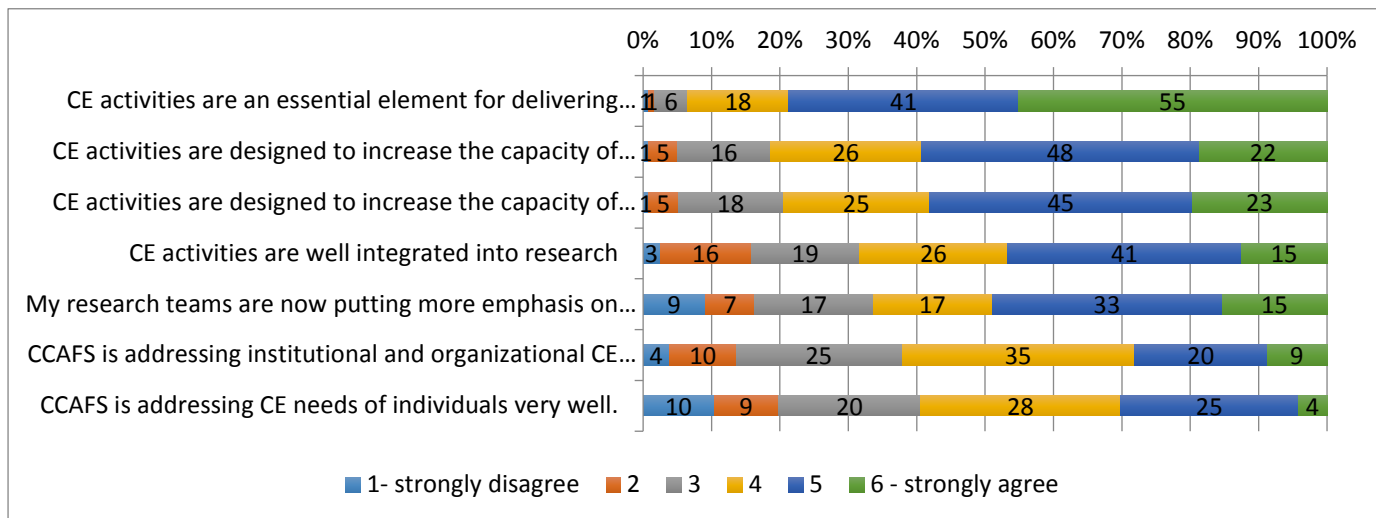
Figure 24: QUESTION 26: Please indicate your agreement with the following statements that relate to mainstreaming of gender issues in your work and CCAFS.



QUESTION 27: Please add any comment on gender mainstreaming in CCAFS and how it has effected your work:

Open question

Figure 25: QUESTION 28: Please indicate your agreement with the following statements that relate to capacity enhancement (CE) in your work and in CCAFS.

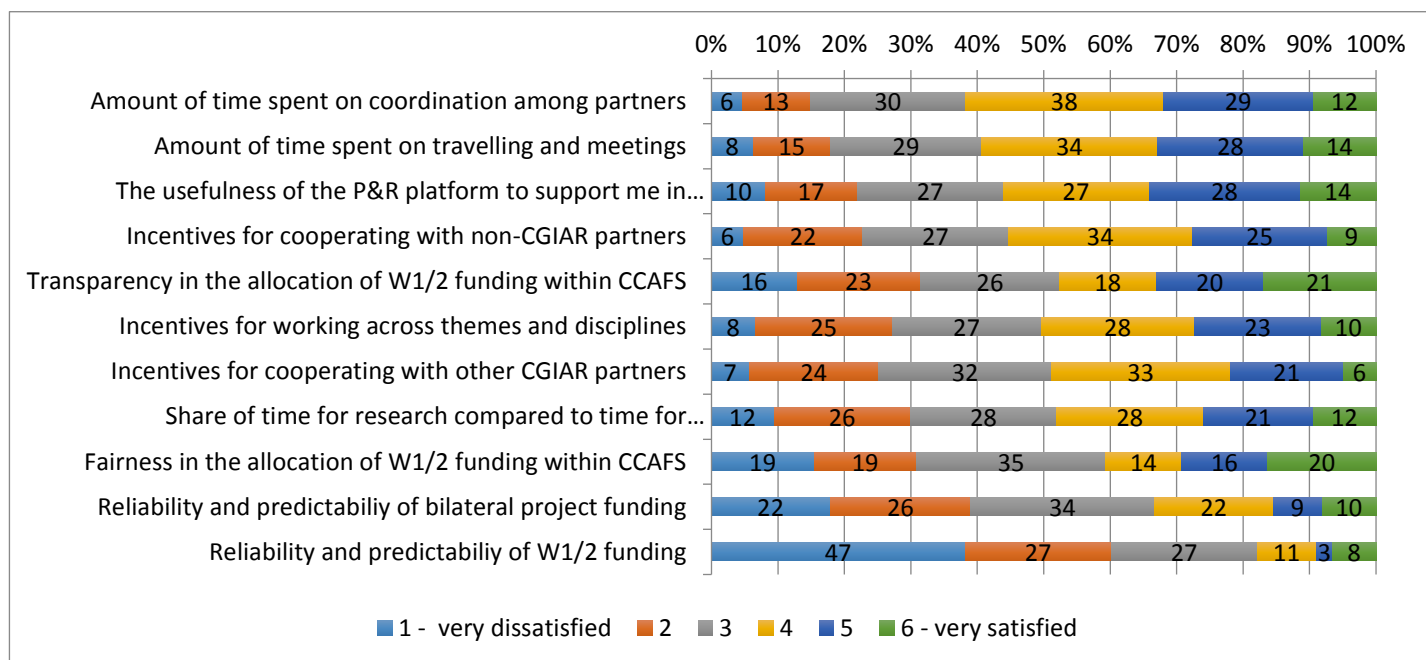


QUESTION 29: Please add any comment on capacity enhancement in CCAFS and how it has effected your work:

Open question

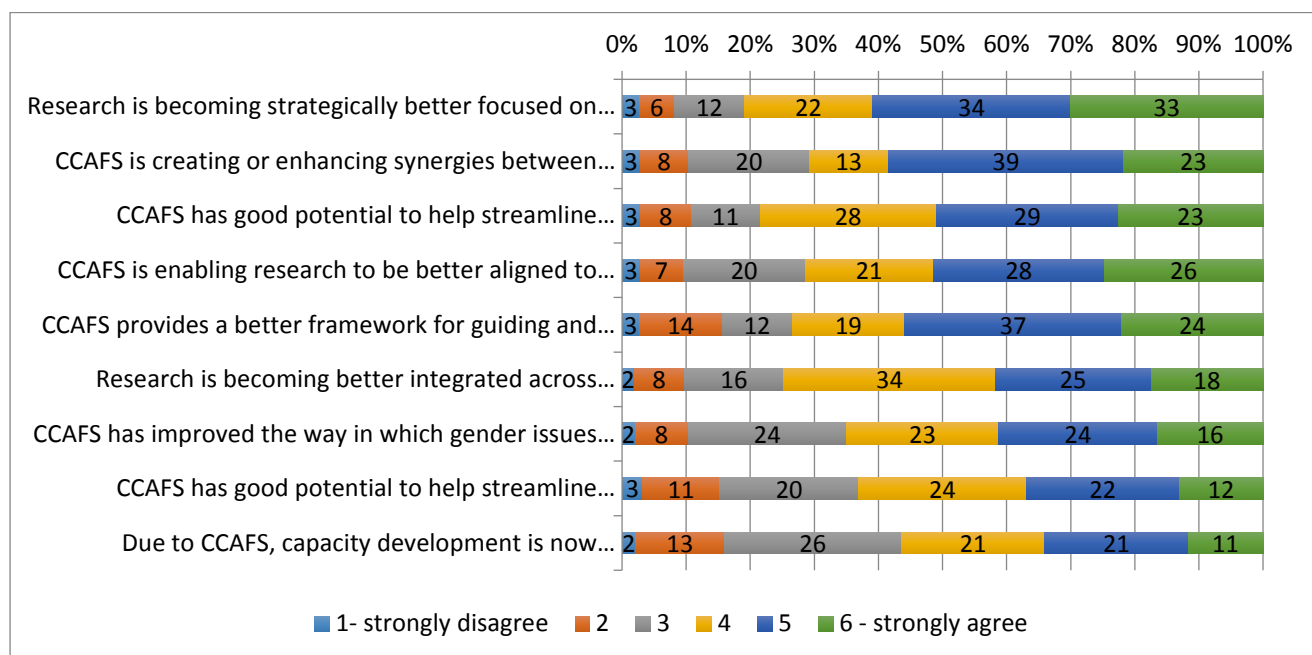
PART V. CCAFS WORKING CONDITIONS

Figure 26: QUESTION 30: Please indicate how satisfied you are with the following working conditions for your work



PART VI. CCAFS VALUE ADDED

Figure 27: QUESTION 31: Please indicate your agreement with the following statements related to the value the CCAFS has had or is likely to have influencing the success of your research compared to past Center-based implementation of the research.



QUESTION 32: Please add any comment on the value-added or negative value from research implementation through CCAFS that you have observed or expect in the future.

Open question

QUESTION 33: Please add any suggestions on what could be done differently.

Open question

ANNEX F: BIBLIOMETRICS ANALYSIS

CCAFS publication database:

Publication type	2010	2011	2012	2013	2014	Grand Total	% of total
CCAFS briefs, info notes	1	23	16	5	21	66	5%
CCAFS report	1	5	3	4	6	19	2%
CCAFS working paper		12	23	23	13	71	6%
CCAFS manual, strategy, progr. doc		3				3	0%
Conference		38	24	38		100	8%
Journal article	35	65	101	165	108	474	39%
Book and book chapter	9	26	24	32	16	107	9%
Policy Brief	6	18	5	18		47	4%
Report	1		41	13		55	5%
Working paper	3	6	11	7		27	2%
Other	4	114	13	57	47	235	20%
Grand Total	60	310	261	362	211	1204	

Source: CCAFS Annual reports.

Journal articles - citations

Citations	2010	2011	2012	2013	2014	TOTAL
0	1	4	6	13	21	45
1-5	2	9	26	62	47	146
6-10	4	10	20	25	20	79
11-20	3	14	22	37	14	90
21-50	11	17	19	21	6	74
>50	13	7	6	6	0	32
TOTAL	34	61	99	164	108	466

Source: Google scholar.

Books and book chapters - citations

Citations	2010	2011	2012	2013	2014	TOTAL
0		3	6	9	4	22
1-5	3	8	9	8	4	32
6-10	4	3	5	3	1	16
11-20	0	2	1	3	0	6
21-50	1	4	1	0	0	6
>50	1	1	0	1	0	3
TOTAL	9	21	22	24	9	85

Source: Google scholar.

Ten most cited articles

YEAR	TITLE	Citations	Lead institute
2010	Herrero M et al. (18 authors). 2010. Smart investments in sustainable food production: revisiting mixed crop-livestock systems. Science 327 (5967): 822–825.	280	ILRI

2010	Thornton PK. 2010. Livestock production: recent trends, future prospects. <i>Philosophical Transactions of the Royal Society Series B</i> , 365 (1554): 2853–2867.	276	ILRI
2013	Asseng S. et al. (52 authors) 2013. Uncertainty in simulating wheat yields under climate change. <i>Nature Climate Change</i> 3: 827-832.	170	Agricultural and Biological Engineering Department, University of Florida
2010	Vermeulen S, Cotula L. 2010. Over the heads of local people: consultation, consent, and recompense in large-scale land deals for biofuels projects in Africa. <i>J. Peasant Studies</i> 37(4): 899–916.	168	CCAFS
2012	Vermeulen SJ, Campbell BM, Ingram JSI. 2012. Climate change and food systems. <i>Annual Review of Environment and Resources</i> 37:195-222.	141	CCAFS
2010	Sikor T. et al. (7 authors) E. 2010. REDD-plus, forest people’s rights and nested climate governance. <i>Global Environmental Change</i> 20 (3): 423–425.	113	School of International Development, University of East Anglia
2010	Brussaard L. et al. (8 authors). 2010. Reconciling biodiversity conservation and food security: scientific challenges for a new agriculture. <i>Current Opinion in Environmental Sustainability</i> 2: 34–42.	111	Diversitas AgroBiodiversity Science Committee, Dept. of Soil Quality, Wageningen Univ
2013	Vanbergen AJ et al. (40 authors). 2013. Threats to an ecosystem service: pressures on pollinators. <i>Frontiers in Ecology and Environment</i> 11, 251-259.	102	NERC Centre for Ecology & Hydrology, Edinburgh
2011	Varshney, R.K., Bansal, K.C., Aggarwal, P.K., Datta, S.K., Craufurd, P.Q. 2011. Agricultural biotechnology for crop improvement in a variable climate: hope or hype? <i>Trends in Plant Science</i> 16, 363-371	101	ICRISAT
2010	Thornton PK, Jones PG, Alagarswamy G, Andresen J, Herrero M. 2010. Adapting to climate change: agricultural system and household impacts in East Africa. <i>Agricultural Systems</i> 103(2):73–82.	93	ILRI

Source: [Google scholar](#).

Most frequent journals

JOURNAL TITLE	No of articles	Impact factor	Category
Environmental Research Letters	27	3.906	Environmental sciences
PLoS ONE	15	3.234	Multidisciplinary sciences
Global Environmental Change	14	5.089	Environmental sciences
Water International	13	0.686	Engineering, civil
Field Crops Research	12	2.976	Agronomy
Agricultural and Forest Meteorology	11	3.762	Agronomy
Climatic Change	11	3.43	Environmental sciences
Agriculture, Ecosystems and Environment	11	3.402	Agriculture, multidisciplinary
Nature Climate Change	10	14.55	Environmental sciences
Current Opinion in Environmental Sustainability	10	3.491	Environmental sciences
Regional Environmental Change	10	2.628	Environmental sciences
Agriculture and Food Security	9	n/a	
Global Change Biology	9	8.044	Biodiversity conservation
Proceedings of the National Academy of Sciences	8	9.674	Multidisciplinary sciences
Agricultural Systems	8	2.906	Agriculture, multidisciplinary
Mitigation and Adaptation Strategies for Global Change	8	2.669	Environmental sciences
Food Security	8	1.495	Food science and technology
Experimental Agriculture	6	1.079	Agronomy
Plant and Soil	5	2.952	Agronomy
Geoderma	5	2.772	Soil science

Source: Scopus.

Journals with highest Impact Factor (higher than 6)

Journal	No	IF
Nature	1	41.46
Science	4	33.61
Nature Climate Change	10	14.55
Trends in Plant Science	1	12.93
Nature Communications	1	11.47
Proceedings of the National Academy of Sciences	8	9.674
Global Change Biology	9	8.044
Frontiers in Ecology and Environmen	1	7.441
Conservation Letters	2	7.241
Philosophical Transactions of the Royal Society - B	2	7.055
Plant Cell and Environment	1	6.96
Global Ecology and Biogeography	2	6.531
Remote Sensing of Environment	1	6.393
Journal of Hydrometeorology	1	6.182

Source: Scopus.

Co-authors with CCAFS 2010-2014

Institute	No of articles published together
University of Copenhagen	8
CIAT	6
CSIRO	6
ILRI	6
INRA	6
Bioversity International	4
Charles Darwin University	4
FAO	4
University of Leeds	4
University of Vermont	4
Wageningen University and Research Centre	4
IUCN	4
CIP	3
CIRAD	3
Open University	3
University of Oxford	3
University of Reading	3
World Agroforestry Centre	3

Source: Scopus.

CCAFS Team leaders (12) – H index

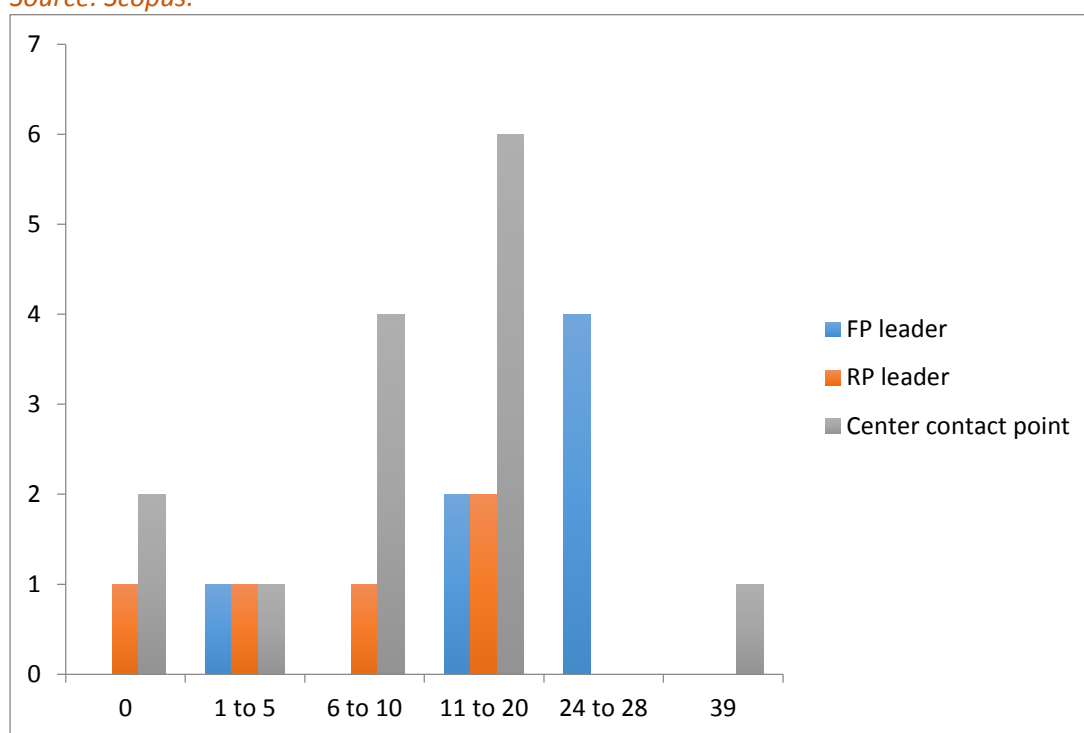
Name	Role	H INDEX SCOPUS
Ana Maria Loboguerrero	Regional program leader	1
Andrew J. Challinor	Flagship program leader	24
Andy Jarvis	Flagship program leader	19
Bruce Campbell	Flagship program leader	28
James Kinyangi	Regional program leader	15
James Hansen	Flagship program leader	24
Lini Wollenberg	Flagship program leader	4
Philip Thornton	Flagship program leader	27
Pramod Aggarwal	Regional program leader	20
Robert Zougmore	Regional program leader	9
Sebastian Leocadio	Regional program leader	0
Sonja Vermeulen	Flagship program leader	11

Source: Scopus.

Spread of H index of CCAFS contact points, Flagship Program leaders and Regional Program Leaders

H index	Number of researchers
0	3
1 to 5	3
6 to 10	5
11 to 20	10
24 to 28	4
39	1
TOTAL:	26

Source: Scopus.



Source: Scopus.

ANNEX G: REVIEW OF JOURNAL ARTICLES

PROCESS:

- This component of the Quality of Science analysis was coordinated and managed by the IEA
- CCAFS provided the evaluation team with a database of 1204 CCAFS outputs, of which 474 were classified as journal articles.
- Since better alignment of publications with CCAFS research and objectives was expected or articles published more recently, it was decided to select the period of 2012-2014 for the qualitative assessment
- Ultimately the assessment should cover 30% of articles published between 2012 and 2014
- Out of the 374 articles (2012-2014) a random sample was taken and articles were classified by four subject areas (see below)
- Since economics and social science papers were comparatively less frequent, the sample for economics papers was lower than for the other subject areas
- Four external experts (all professors at Universities) were recruited to conduct the assessment
- Articles which were clearly not aligned or which were only published in a language not spoken by the respective reviewer were excluded from the sample and the next one in the list was reviewed
- A template (see below) was used and additionally reviewers were asked to provide an overall assessment (1-2 pages) to the IEA

PEER REVIEWERS:

SUBJECT AREA	Name of peer reviewer	Position	INST
Agriculture, crop production	Chris Atkinson	Professor of Sustainable Agriculture and Climate Change, Department of Agriculture Health and Environment	Natural Resources Institute, University of Greenwich
Climate change issues	John Roy Porter	Professor Climate and Food Security, PLEN, Faculty of Science	University of Copenhagen AND Natural Resources Institute, University of Greenwich
NRM and environment	Johan Six	Professor, Sustainable Agroecosystems	ETH Zurich
Economics	Baris Karapiner	Assoc. Prof.	Boğaziçi University

Short profiles of peer reviewers:

Professor **Christopher Atkinson** joined the University of Greenwich from East Malling Research in late 2012. Previously he worked for Unilever Research and for the Agriculture Food Research Council at Rothamsted

Research Station, in Harpenden (1971–76). Professor Atkinson's research interests focus on understanding the impacts of environmental stress on the growth and development of crops, with particular expertise in perennial woody crops.

Professor **John Roy Porter** is an internationally known scientist in crop ecology and physiology, biological modelling and agricultural ecology. Main contribution has been multi-disciplinary and collaborative work in the response of arable crops, energy crops and complex agro-ecosystems to their environment with an emphasis on climate change and ecosystem services. He has published more than 100 papers in reviewed journals out of a total of about 350 publications.

Professor **Johan Six** received his PhD in Soil Science in 1998 from Colorado State University. He recently took up a chair position in Sustainable Agroecosystems at ETH-zurich, where he will continue his research program developed at UCDavis, but with more of an emphasis on landscape analyses and global Food Security. He led and was involved in many projects investigating the effect of land use change and management on greenhouse gas fluxes in agricultural, grassland and forest ecosystems.

Dr. **Baris Karapinar** is the Managing Director and member of the Executive Board of the TEMA Foundation, Turkey's biggest environmental NGO

SAMPLE:

	No of journal articles assessed	STATUS
Agriculture, crop production (AGR)	34	completed
Climate change issues (CC)	33	completed
Economics (ECO)	16	completed
Natural resource management (NRM)	32	completed
TOTAL	115	

FRAMEWORK USED

Criterion	Assessment approach
1. Methodological rigor and coherence of data analysis	Rating Scale 1=poor 2=mediocre 3=good 4=excellent
2. Originality, innovativeness	Rating Scale <i>0 =not applicable</i> 1 = no originality 2= standard methods, established knowledge 3= rather original 4= very original, new research, analytical or theoretical concepts
3. Referencing (whether referencing is up to date, balanced across relevant disciplines, indicating that the publication takes account of earlier work)	Rating Scale 1=referencing is poor 2= referencing is limited 3= referencing is good 4=referencing is excellent
4. Do the results (knowledge) presented in the paper represent broadly applicable knowledge (International Public Goods) relevant to agriculture and climate change?	Rating Scale <i>0= results not relevant to agriculture and climate change</i> 1=no broader applicability (local relevance only) 2= potentially broader applicability, but not spelled out 3= broader applicability is presented 4= significant international applicability
5. Quality (and appropriateness) of publication venue	Observation of low-quality or inappropriate venue relative to subject and quality of paper
6. Co-authorship	Observation of extent of co-authorship, with whom and is it appropriate?
7. Overall quality of publication (including additional criteria at evaluator discretion)	Brief overall assessment (around 100-150 words)

SCORING RESULTS

1. Methodological rigor and coherence of data analysis

RATINGS	AGR	%	CC	%	ECO	%	NRM	%	TOTAL
1=poor		0	2	6%	5	31%	1	3%	8
2=mediocre	8	24%	9	27%	3	19%	5	16%	25
3=good	14	41%	15	45%	6	38%	11	34%	46
4=excellent	12	35%	7	21%	2	13%	15	47%	36
TOTAL	34		33		16		32		115

2. Originality, innovativeness

RATINGS	AGR	%	CC	%	ECO	%	NRM	%	TOTAL
0 =not applicable		0%	2	6%	1	6%		0%	3
1 = no originality		0%	1	3%	5	31%	2	6%	8
2= standard methods, established knowledge	17	50%	18	55%	6	38%	8	25%	49
3= rather original	17	50%	6	18%	4	25%	18	56%	45
4= very original, new research, analytical or theoretical concepts		0%	6	18%		0%	4	13%	10
TOTAL	34		33		16		32		115

3. Referencing (whether referencing is up to date, balanced across relevant disciplines, indicating that the publication takes account of earlier work)

RATINGS	AGR	%	CC	%	ECO	%	NRM	%	TOTAL
1=referencing is poor	2	6%		0%		0%	2	6%	4
2= referencing is limited	6	18%	4	12%	8	50%	5	16%	23
3= referencing is good	16	47%	22	67%	6	38%	14	44%	58
4=referencing is excellent	10	29%	7	21%	2	13%	11	34%	30
TOTAL	34		33		16		32		115

4. Do the results (knowledge) presented in the paper represent broadly applicable knowledge (International Public Goods) relevant to agriculture and climate change?

RATINGS	AGR	%	CC	%	ECO	%	NRM	%	TOTAL
1=no broader applicability (local relevance only)		0%	9	27%		0%	2	6%	11
2= potentially broader applicability, but not spelled out	9	26%	16	48%	3	19%	4	13%	32
3= broader applicability is presented	11	32%	4	12%	9	56%	17	53%	41
4= significant international applicability	14	41%	4	12%	4	25%	9	28%	31
TOTAL	34		33		16		32		115