Evaluation of Partnership in CGIAR
Inception Report

July 2016

Independent
Evaluation
Arrangement

CGIAR

Evaluation Team

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Abbreviations

AAS	CGIAR Research Program on Aquatic Agricultural Systems
CIAT	Centro Internacional de Agricultura Tropical / International Center for Tropical Agriculture
CIMMYT	Centro Internacional de Mejoramiento de Maíz y Trigo / International Maize and Wheat Improvement Center
CIP	Centro Internacional de la Papa / International Potato Center
CO	Consortium Office
CRP	CGIAR Research Program
FAO	Food and Agricultural Organization of the United Nations
GFAR	Global Forum on Agricultural Research
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IEA	Independent Evaluation Arrangement (Rome)
ILAC	International Learning and Change (CGIAR initiative)
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IITA	International Institute for Tropical Agriculture
ILRI	International Livestock Research Institute
IRRI	International Rice Research Institute
ISPC	Independent Science and Partnership Council
IWMI	International Water Management Institute
L&F	Livestock and Fish CRP
NGO	Non-governmental organization (general)
NRM	Natural resource management
POWB	Program of Work and Budget
RG	Evaluation Resource Group
SRF	Strategy and Results Framework (CGIAR)
SLO	System-Level Outcome (CGIAR)
TOC	Theory of Change
ToR	Terms of Reference
W1	Window 1 funding type (CGIAR)
W2	Window 2 funding type (CGIAR)
W3	Window 3 funding type (CGIAR)

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1 Introduction

1.1 Origins of the evaluation

CGIAR is a global agricultural research partnership that supports 15 International Agricultural Research Centers and is funded by CGIAR members from governments, foundations and development agencies. Research is financed through CGIAR Fund contributions to the CRPs (Windows 1 and 2 funding) or to the Centers (Window 3) and bilaterally to Center projects. CGIAR's current three System Level Outcomes (SLOs) are: i) reduced rural poverty; ii) improved food and nutrition security for health; and iii) improved natural resources systems and ecosystems services.

The Independent Evaluation Arrangement (IEA) is responsible for independent external evaluations of CGIAR, including evaluation of CRPs, cross-cutting themes and CGIAR system and its governing institutions. Following completion of the evaluations of all CRPs, one of the thematic evaluations is the evaluation of partnerships in CGIAR. This evaluation will be conducted at a time when the first phase of CRPs is coming to an end, approval of proposals is ongoing for the second phase to start in 2017, and CGIAR is going through governance transition.

1.2 Evaluation purpose and clients

The purpose of this thematic evaluation is to assess the extent to which CGIAR reforms, particularly the current one initiated in 2008 have been successful in strengthening partnerships, which has been their major emphasis. In that regard it will assess the extent which CGIAR is engaging in critical partnerships that are effective for advancing the achievement of CGIAR goals, and thereby **responding to the intent of the reform**.

There are three elements to the purpose:
* To review changes that have occurred
* To assess the extent to which changes have responded to expectations articulated during the reform
* To identify lessons learned and formulate recommendations about good practice

Acknowledging that expectations set by different stakeholder groups for partnerships may vary, the evaluation will assess the extent to which there is **satisfaction among stakeholder groups** on partnerships in CGIAR and analyze the underlying causes and variances.

The evaluation will provide **evaluative evidence and lessons on partnerships models**; how well they have fulfilled their objectives, what have been the drivers of success and what have been constraints. The evaluation will formulate recommendations to CRPs and Centers collectively, and to the System governing bodies on ways to improve the systemic incentives, structures and strategies for enhancing efficiency, effectiveness and accountability related to partnerships, in order to improve the overall development and delivery of results towards CGIAR's goals.

The **principal audiences for this evaluation** are CRP and Center management and staff, CRP and Center boards and oversight bodies and CGIAR management and governance at the system level (System Management Board and Office and System Council). Other important

stakeholders in the evaluation are the partners of CGIAR. Furthermore, the evaluation will provide lessons learned for the Independent Science and Partnership Council (ISPC) and the Global Forum for Agricultural Research (GFAR).

1.3   Purpose and structure of the inception report

The purpose of the Inception Report is to provide an agreed, appropriate and clear evaluation design building on the evaluation Terms of Reference (TOR).[1] The Inception Report becomes a road-map for the conduct of the evaluation, for guiding the evaluation team, for informing the evaluation stakeholders and for helping to assure the evaluation quality.

The Inception Report builds on the TOR in providing detail on the background to the evaluation (chapter 2), elaborates and further defines the evaluation scope and approach (Chapter 3), the analytical framework (and main evaluation questions) (Chapter 4) and the methodology and analysis (Chapter 5). Information on the organization and timing (including team member roles) of the evaluation is given in Chapter 6.

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[1] The ToR can be found under the following link:
http://iea.cgiar.org/sites/default/files/ToR_Partnerships-IEA-FINAL.pdf

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2 Background

The CGIAR Centers have always worked with different types of partners, some mainly for research collaboration and others oriented more towards delivery and impact. In addition to bilateral partnerships, CGIAR Centers have facilitated networks, particularly around commodities, and engaged in collaborative activities with development agencies. However, the nature of partnership has changed over time, to encompass an increasingly broad range of prospective partners and partnership models. It appears that there has been increasing emphasis on partnerships for delivering development impact, and an evolution from partnerships with a few dominant stakeholders to truly multi-stakeholder partnerships (MSPs).

Since 2000, CGIAR has undergone major reforms. They have all had in common the general objectives of enhancing the relevance of CGIAR research to major development challenges, improving integration of research among the Centers and partners, and opening up CGIAR to better fulfil the mutual expectations of partnerships and increase ownership of the partnerships by stakeholders. The reform processes have been quite explicit in desiring to encourage Centers to work together and with others in a partnership mode to accomplish system-level goals.

Prior to 2000, CGIAR implemented the majority of its research through programs run by individual Centers, which partnered with national and international research organizations to achieve specific technical outputs. Systemwide Programs were initiated in early 1990 with a CGIAR Center convening a partnership around commodity or natural resource management topic. Challenge Programs introduced in the CGIAR reform of 2000, represented a new model of programmatic design and implementing research through partnerships among Centers and with external partners (from the research and development communities, and including national and international partners). The present CRPs, initiated in 2011-12, implement all of the core research though 15 partnership networks including Centers and an increasingly wide variety of external stakeholders. This model is to be continued with some modifications into the second round of CRPS, starting in 2017.

Partnerships have been much discussed and much reviewed by CGIAR. The following documents provide useful background for the evaluation.

- A report by the CGIAR Change Steering Team's Working Group 2 sets the scene for partnership arrangements in the reformed CGIAR (CGIAR 2008). It recommended, among other things, that the CGIAR should reposition itself as an active participant in the global development dialogue, strengthen links with regional partners, develop an institutional culture that values partnerships and work with a wide range of partners. The report recognised the importance of having national and regional partners engaged in defining the CGIAR research agenda and portfolio. Capacity building was seen as an important element of partnership development.

- A 2009 working paper published by CIP reviewed literature on partnerships and identified key cross-cutting themes and success factors as well as highlighting knowledge gaps. The paper noted that there had been few empirical studies of partnerships and that there was a weak link between theoretical notions of partnerships and published practical guidelines. It emphasized the need to identify a clear value-added proposition before initiating a partnership, as the costs of partnerships can be high.

- Two workshops hosted by the International Learning and Change (ILAC) initiative and GFAR in 2009 and 2010 provided opportunities for selected CGIAR Center staff to reflect together on "research for development" partnerships, their challenges and the factors influencing successful partnerships. The 2009 workshop resulted in a publication on lessons in partnering (ILAC, 2010).

- More recently, a report by ISPC (2015) reviewed literature on partnerships, particularly multi-stakeholder partnerships. It identified four innovation and partnership modes related to different types of challenge and levels of impact and suggested that a shift in partnership strategy may be needed to increase effectiveness in working in large MSPs that deal with complex global challenges. In these situations the report recommended placing more emphasis on the role of CGIAR as a "trusted advisor".

The analysis leading to the 2008 reform identified several weaknesses of the CGIAR, one being "static" partnerships. The reform process has affected the way that partnerships are dealt with in the structure of CGIAR and the way that research programs are required to address partnership strategies and management from the beginning.

With respect to structure, the issues below are noted. However, interviews carried out during the inception period suggest that the respective roles of the various CGIAR units have not been fully clarified with regard to partnership strategy and implementation and organizational learning about partnerships, and these topics will be explored further by the evaluation.

- The CGIAR has allocated central responsibility for advising about partnerships to the Science Council since its establishment in 2002. One of the tasks of the Science Council was to foster partnerships with the wider scientific community for the benefit of an international agricultural research agenda. With the reform, ISPC continues to serve an advisory role regarding partnerships. The addition of "partnership" to the Council's title makes explicit the importance attached to ISPC's work on partnerships.

- The establishment of the Consortium Office (CO) in Montpellier in 2011, intended to provide a single point of contact for donors, has created a structure that in theory has responsibility for i) ensuring that internal partnerships are functioning and ii) facilitating a co-ordinated approach to key external partners.

- Promotion of multi-stakeholder partnerships and strategic alliances, with the intention of enhancing the transformation of research into development impact, has been the responsibility of GFAR since it was set up in 1996. The Global Conference on Agricultural Research for Development (GCARD) consultation process was initiated in 2009-10 to "promote effective, targeted investment and build partnership, capacities and mutual accountabilities at all levels of the agricultural system". The first conference was held in Montpellier in March 2010 and there have been two subsequent conferences. The most recent, in March 2016, was the culmination of a two-year consultative process within selected countries and regions intended to contribute to shaping the CGIAR research agenda.

- Establishment of the Challenge Programs and later the CRPs has made explicit the requirement for Centers to collaborate with each other through formal partnerships. This in effect shifted the organization's structure from one of autonomous decentralised units towards a complex networked structure. The establishment of the Consortium (Board and Office) has theoretically created a central hub for the network, but it is uncertain to what

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extent the office has actually been playing that role. It was an implicit intention of some participants in the reform that the system would evolve towards one in which Center identity became less visible than CRP identity, with very strong partnerships between Centers. Other participants, including many of the Centers and several donors, defended the centrality of the Center organization in the system, and had the implicit intention of keeping the system-wide structures as facilitators of collaboration among independent Centers. The IEA evaluations of CRPs conducted in 2015 suggest that, while Centers collaborate in multiple CRP partnerships, Center identity remains strong and is seen by many researchers as the stable base on which programmes stand.

- The new governance structure to be put in place mid-2016 will involve a System Council representing the donors and a System Management Board, consisting of Center representative and independent members. The latter will be the main decision-making body that has oversight on CGIAR research (including partnerships). The System Management Office will serve primarily the Board.

With respect to research programs, there has clearly been a progression in thinking about partnerships that will be explored by the evaluation.

- All of the proposals submitted for the first round of CRPs included information on partnerships. . However, the proposals tended to emphasise the identification and selection of partners (often very long lists) rather than strategies for partnership. Only a few of the CRPs have developed and documented a formal partnership strategy.

- Proposals for the second rounds of CRPs (CRP Phase 2) contain more comprehensive partnership information. They were required by the guidance notes for proposal submission (CGIAR, 2015) to include a detailed partnership strategy outlining i) who and what type of partners, with a focus on strategic partnerships[2]; ii) roles of partners, with reference to impact pathways and CRP management/governance; iii) partnership modalities[3]; iv) strategic partnership activities, including engagement and dialogue and alignment with regional initiatives and key global processes; v) sustaining partnerships; vi) partnering capacity and vii) resourcing of partnerships, including transparency about budget allocations to strategic partners. The current SRF states as one of its core principles "seeking out selected strategic partnerships, including public-private partnerships that add value and leverage new sources of funding" and emphasizes how critical partnerships are for the achievement of CGIAR's goals. It lays out the principles for partnerships as: common agenda, shared measurement, mutually reinforcing activities, continuous communication and backbone support.

- There has been an evolution in the way research programs describe the process of translating research into development impact. Prior to 2011, program proposals for Challenge Programs and CRPs described Impact Pathways but did not systematically link them to partnership choices. In 2010-11 the Theory of Change discourse entered the CGIAR, and this was reflected in the way CRP planning evolved, although there was no

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[2] The term "strategic partner" has come into quite wide use in CGIAR and is discussed in section 3.

[3] These are assumed to be equivalent to what the evaluation defines as partnership models (discussed in section 4)

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systematic link between ToC and partnership choices within CRP documents until the most recent round of proposals. A commitment to ToC means that it is not enough simply to describe an impact pathway – the process of change must also be discussed, and this implies an explicit consideration of partnerships. In the CRP2 proposals, ToC are more fully developed, and there is a requirement to link partnership choices to impact pathways. Initially in becoming partners in the CRPs, each Center brought to the program its own set of partners. Currently, attention is given, on one hand, to defining partnerships for expanding the CGIAR's sphere of competence in scientific areas where it does not have internal capacity, and on the other hand to engaging in partnerships for delivery, diffusion and impact. There is also an emphasis on developing capacity in NARS partners and some partnerships have capacity development as their main focus (note that this will be reviewed in the IEA evaluation of capacity development rather than the present evaluation).

3 Scope and approach

The emphasis of this evaluation will be on partnerships for implementation of CGIAR research[4], which means that it will focus at Center and CRP level, but the evaluation will not assess individual Centers or CRPs or rank them against each other. The evaluation will assess roles, strategies and contributions of CRPs and Centers as well as Consortium and donors, in terms of their influence on partnership performance. While the ISPC has a mandate on partnerships, the evaluation will not review ISPC's performance with respect to partnerships, but it will consider ISPC's role and its conclusions may highlight aspects at the system level relevant to the ISPC.

The evaluation will be both summative and formative, and this is important as it occurs at a time of transition between the first and second phase of CRPs; proposals for the second round for 12 CRPs and three platforms have already been submitted and they will start to operate in 2017. The evaluation will have a descriptive component that aims at exploring the expectations that exist regarding partnerships in Centers and CRPs, donors, and external partners. It will also explore the main drivers and incentives to establishing partnerships and identify the main constraints to strategic partnering[5] and the risks that can lead to poor delivery or failure of partnerships.

CGIAR partnerships cover very different kinds of arrangements and relationships, including formal contracts that may involve funding flows as well as less formal agreements between partners with common interests. The concept is variously defined in CGIAR published documents. Box 1 provides a few examples, all of which are similar in spirit although they differ slightly in detail.

Box 1 . Definitions of partnership found in CGIAR documents

> …. a vague term that can encompass a wide range of objectives from information sharing to specific collaborative activities. (Bezanson et al., 2004)
>
> "… a recognized relationship between ILRI and another institution to undertake activities jointly that contribute to each institution's mandate" (ILRI, 2008)
>
> "In the context of international agricultural research for development, partnership is defined as a sustained multi-organizational relationship with mutually agreed objectives and an exchange or sharing of resources or knowledge for the purpose of generating research outputs (new knowledge or technology) or fostering innovation (use of new ideas or technology) for practical ends." (Horton et al., 2009)
>
> "Partnership is a means to an end — a collaborative relationship toward mutually agreed objectives involving shared responsibility for outcomes, distinct accountabilities, and reciprocal obligations." (ISPC, 2015, citing Picciotto, 2004)

In the present context a definition is important in delineating the scope for the evaluation - what it should cover and what should be excluded - as the evaluation does not have the

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[4] The term "research" as used here encompasses all of the activities of Centers and CRPS along impact pathways, including basic and applied and research and scaling of results engagement in the transformation of research results into development impact.

[5] "Strategic" in this context refers to deliberate selection of partnerships to contribute to achieving goals

resources or remit to analyse or assess all possible types of partnerships. The evaluation proposes to adopt the following working definition, adapted from that of ILRI (2008): **"a recognized relationship between a CGIAR Center or CRP and another institution[6] within or external to CGIAR, to undertake activities jointly that contribute to each institution's mandate".** This allows for a wide variety of partnerships to be included, irrespective of funding source and including both science and delivery partnerships. It encompasses both internal (between Centers and CRPS) and external partnerships, although the focus of the evaluation will be mainly on external partnerships[7]. The evaluation can include partnerships of a contractual nature provided that these also fulfil the criterion of contributing to the mandate of each institution involved (i.e. they are not purely market transactions)[8]. It can include partnerships with donors where CGIAR and the donor work closely together on programme planning and delivery. However it excludes any systematic assessment of partnerships where CGIAR has no direct role.

The evaluation cannot cover in depth all types of partnership and will need to be selective about those studied in detail. It will focus most strongly on "key" partnerships, defined as those considered by Centers and CRPS to be most critical to their operation. It is likely that many of these will involve so-called "strategic" partners, a term that has recently come into wide use, including in guidelines for developing CRP2 proposals, and appears to be reserved for external partners whom a long-term relationship is envisaged, often to work on a number of activities, and where both partners are willing to invest time and human resource in relationship-building[9].. However the evaluation will not be limited to strategic partners but will expect to include a range of partners and partnership models.

The evaluation will focus on the time span from the initiation of the reform in 2008 to date, using lessons and experiences from the recent past preceding the reform as a reference point and for illustrating the extent of change.

Acknowledging that there have already been many conversations and published documents about the nature of partnership and the practical requirements for implementing good partnerships, the evaluation does not propose to repeat previous exercises of defining the principles behind an effective partnership. Rather it intends to discover the extent to which

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[6] The institution as a whole, part of the institution, or a member representing the institution

[7] Partnerships between Centers are an important element of the reform and must be included. The evaluation will allow information on partnerships between Centers to emerge in interviews and data-gathering exercises and will report on what is learned. However it does not intend to review the governance of partnership between Centers, which will be covered in the systemwide evaluation to be conducted next year.

[8] A relationship consisting of a series of contracted activities might be considered a partnership but only if it clearly contributed to the mandate of the institution(s) to which the work was outsourced.

[9] "Strategic" partners of CRPs are also given other titles, such as "core" or "lead" partner. There is no common definition for a "strategic partnership", but the term appears to be applied to the relationship between a Center or CRP and a strategic partner. There is no single classification of partners or partnerships within CGIAR and the evaluation has not imposed one, but will be reviewing the range of partnership types that are currently implemented.

Centers and CRPS have been able to implement partnerships that are fit-for-purpose and deliver results, with appropriate partners, and what have been positive drivers and constraints. It will also assess the extent to which the reform has contributed positively or negatively. It will investigate the changes that have occurred in partnership strategy (including the development of strategies where none previously existed) and practical implementation, from the perspectives of external partners and the CGIAR, and indications of the impact of partnerships on the ability to deliver planned outputs and outcomes.

In its formulation of evaluation questions, the evaluation has taken into account the issues raised in recent strategic and evaluative studies, such as the 2015 ISPC strategic study[10] and the 2014 CGIAR Mid-Term Review.[11] Targeted stakeholder consultation, including GCARD3, has also been used to identify issues for this evaluation to address.

It should be noted that this evaluation will be carried out in parallel with two other thematic evaluations, one on capacity development and one on gender. It will not focus on the assessment of partnerships that have been established especially for capacity development or gender related activities, but it will consider enhanced capacity as one potential result of partnership.

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[10] ISPC, 2015. *Strategic study of good practice in AR4D partnership*. Rome, Italy. CGIAR Independent Science and Partnership Council (ISPC). The study suggested potential roles that the CGIAR could play in different innovation and partnerships modes. It concluded that the CGIAR can increasingly act as a trusted advisor and service provider relating to the international development agenda (and the Sustainable Development Goals) while at the same time continuing to engage in basic research. It also suggests that a framework is needed to test how multi-stakeholder partnerships work and how they can be linked to impact.

[11] Final Report from the Mid-Term Review Panel of the CGIAR Reform https://library.cgiar.org/bitstream/handle/10947/3390/Final%20Report%20from%20the%20MTR%20Panel%20of%20the%20CGIAR%20Reform,%20October%2028.pdf?sequence=4

4   Evaluation framework

The evaluation framework has the following components:
- A series of evaluation questions (described in section 4.1)
- A contextual framework, termed the "partnership landscape" (described in section 4.2)

Each component is described in the following sections

4.1   Evaluation questions

The evaluation has defined one overarching question, directly related to the purpose of the evaluation, and three related key questions, as follows. They cover three evaluation criteria (relevance and effectiveness, as specified in the evaluation TOR, and efficiency) and the ten questions that are mentioned in the ToR, as well as additional issues identified by the evaluation team.

Overarching question

To what extent has the CGIAR reform of 2008 been successful in a) strengthening partnerships and, b) through this increasing the likelihood of achieving CGIAR goals?

Key questions

1. To what extent have actions taken by the CGIAR since 2008 resulted in partnerships that are strategically selected and fit-for-purpose?

This question addresses the strategic choices made by Centers and CRPs in selecting the partnerships in which they engage, the extent to which these are coherent with programme objectives and impact pathways, and the fitness for purpose of the resulting partnerships. The evaluation will search for evidence of what has changed since 2008 and the extent to which the reform has contributed.

2. To what extent do the CGIAR's systems facilitate good partnering and has this improved as a result of the reform?

This question addresses the extent to which policies, procedures and monitoring, evaluation and learning systems within Centers, CRPS and the CGIAR system can facilitate (or hamper) the identification of partners and the implementation of partnerships. The evaluation will review what has changed since 2008 and the extent to which the reform has contributed.

3. To what extent are partnerships making the CGIAR more effective in delivering on its agenda?

This question addresses the results achieved from partnerships. All partnerships have some level of investment and transactions costs. The evaluation will look for indications that CGIAR research programmes, through working in partnership, are achieving results that each partner could not have achieved by working alone. The evaluation will review trends since 2008 and the extent to which the reform has contributed.

Within each key question are a series of sub-questions, twelve in total, which are listed below. Against each sub-question is indicated the evaluation criterion (relevance, effectiveness or efficiency) to which it relates.

Key questions	Sub-questions
1. To what extent have actions taken by CGIAR since 2008 resulted in strengthened partnerships?	1a) Have partnerships have been strategically selected? Are they sufficiently diverse and suitable for achievement of CGIAR objectives? [relevance] 1b) Do partnerships contribute appropriately to CGIAR objectives and the mandates of external partners? [relevance] 1c) Are partnerships systematically and efficiently operated? What practical constraints do partners face? [effectiveness, efficiency]
2. To what extent do CGIAR systems facilitate good partnering and has this improved as a result of the reform?	2a) What drivers and incentives for partnering exist at system, Center and CRP level? To what extent are these drivers and incentives supportive of strategic and effective partnering? [effectiveness] 2b) Are there adequate strategies, policies and administrative systems to support partnerships? Is there support within the system to develop skills and competences needed for managing partnerships? [effectiveness, efficiency] 2c) To what extent do organizational learning systems and the CGIAR's organizational culture support learning about partnerships within CRPs, Centers and the system as a whole [effectiveness] 2d) Do the system, Centers and CRPs effectively manage the risks associated with partnership (reputational and other) – or if this has not been tested, do they have policies and procedures in place to manage risk? [effectiveness, efficiency]
3. To what extent are partnerships making the CGIAR more effective in delivering on its agenda?	3a) Have partnership resulted in access to resources that would otherwise not have been accessible (finance, human resource, technology, know-how), or in more efficient use of resources? (for example by avoiding duplication or integrating work)? Does access to resources balance the cost of engaging in partnerships? [effectiveness, efficiency] 3b) Do CGIAR and partners have a better understanding of each other and the problems they face? [effectiveness] 3c) To what extent do partnerships appear to be contributing to production of research outputs? For example, have the number/quality of joint outputs increased? [effectiveness] 3d) To what extent are partnerships contributing to development outcomes? Do CGIAR and partners have more influence on national/regional/global agenda-setting? Are there indications that partnership has provided greater ability to deliver technology or policy at scale? [effectiveness] 3e) Is CGIAR recognized as an effective partner? Is it being sought out as a partner (including for initiatives that are not CGIAR-led)? [effectiveness]

4.2   Partnership landscape

"Partnership landscape" is the term used in the evaluation to encompass the context in which CGIAR partnerships operate and the partnership models in which Centers and CRPs engage. Mapping the partnership landscape will assist the evaluation to review the choices that are made by CGIAR relative to research goals, and to develop questions and case studies that cover the range of partnership types most critical for success.

CGIAR partners and partnerships have been described and classified in various ways. The CGIAR describes itself as an Agricultural Research for Development partnership, and is engaged in both internal (between Centers and CRPs) and external partnerships.

Existing typologies in published CGIAR documents tend to be of partners rather than partnership. The Science Council categorised partners by type of organization. In the Guidance notes for the Call for Proposals for the 2017-2022 CGIAR Research Program partners are typified according to their type and function as: a) Research partners; b) Government, policy and public sector partners; c) Development partners; d) Private sector actors. The evaluation chooses to classify partnerships rather than partners because classification of partners was found to be less useful for the present purpose - a partner organization may appear in more than one functional category, may be working with the CGIAR in an activity different from the way they are traditionally described, and may be part of a bilateral or multilateral partnership. For example, is an NGO working with a CRP to carry out action research considered to be a development partner or a research partner?; if the same NGO is part of a stakeholder partnership that helps to define policies, is it then also a policy partner?

The evaluation proposes to map CGIAR partnerships within a landscape that encompasses the context in which the partnerships take place and the types of partnerships in which Centers and CRPS engage in order to deliver their planned research outputs and outcomes.

The **context** for CGIAR partnerships has two dimensions (Figure 1). One is the impact pathway, along which partnerships are formed to carry out research, test research outputs and eventually scale-up technologies and policies. The second is the type of challenge, which can range from solving a discrete technical problem to dealing with a complex system issue.[12] Figure 1 uses two examples of the types of research in which CRPs currently engage in order to illustrate how partnerships may be placed within the context. One example, shown in blue, illustrates the progression along the impact pathway of the development of a vaccine against a livestock disease. This relates to a relatively discrete technical challenge that may also have limited geographical impact, that of controlling a single livestock disease. The other example, in green, is that of carrying out systems research into climate-smart agriculture and taking the results into the global policy arena. Here the challenge is complex and systemic and may potentially have a very broad geographic impact. Among other things, the evaluation will be

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[12] ISPC (2015) discusses challenges faced by CGIAR research in developing four "impact settings", which range from discrete, local technical technical challenges to complex global challenges. The evaluation team considers ISPC's classification to be conceptually useful, but too detailed for present purposes, and has decided to use a simpler continuum that refers only to complexity.

making a review of the contexts in which CGIAR's research programmes are located and strategic choices made about the partnerships in which to engage.
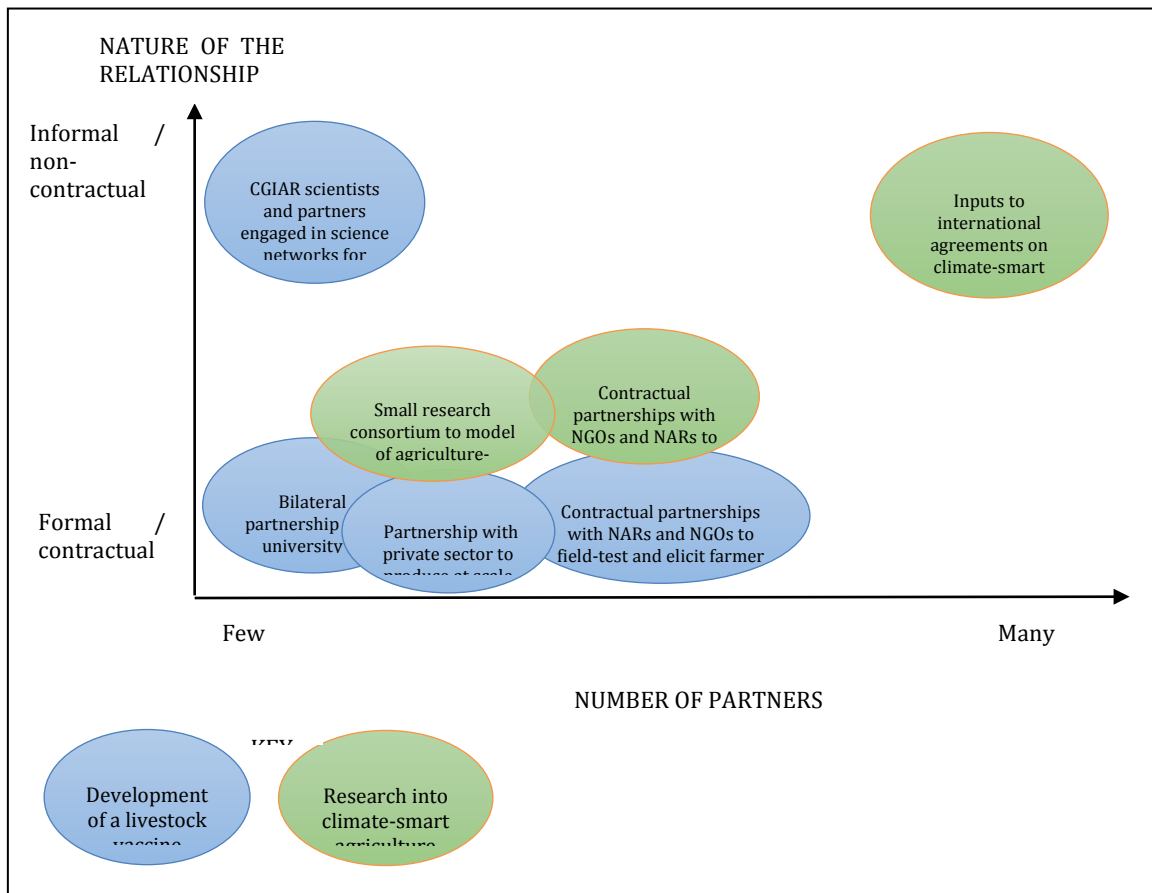
Figure 1. Conceptual framework for CGIAR partnership context with theoretical examples
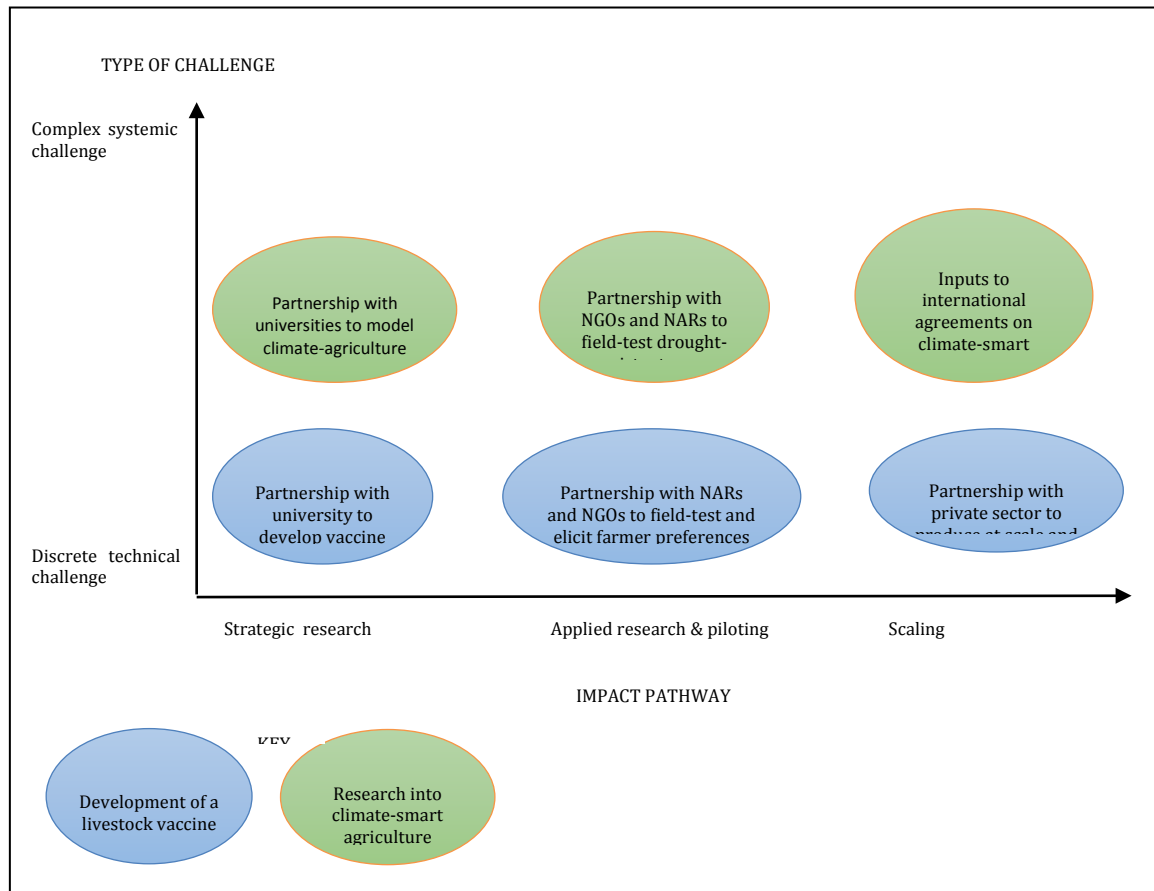
Source: Evaluation team and ISPC (2015)

Different **partnership models** are likely to be needed for different contexts. Two important elements of a partnership model are the number of partners and the formality of the relationship between them. Figure 2 shows the two elements, using the same examples as Table 1. Without pre-judging what the evaluation will find, it suggests two points: a) while it is likely that many CGIAR partnerships involve small numbers of partners working under formal arrangements, even discrete technical challenges may benefit from engagement in loose networks; and b) an issue recognised during recent CGIAR reforms, that in order to contribute to progress on complex challenges, Centers and CRPs need to engage with large multi-stakeholder partnerships that they do not initiate or lead. Even the limited picture shown in figure 2 reminds us of the number of different partnership models in which Centers and CRPs must function, each with specific rules of engagement.

Figure 2. Conceptual framework for CGIAR partnership models with examples

NATURE OF THE RELATIONSHIP

Informal / non-contractual

CGIAR scientists and partners engaged in science networks for

Inputs to international agreements on climate-smart

Small research consortium to model of agriculture-

Contractual partnerships with NGOs and NARs to

Bilateral partnership university

Partnership with private sector to produce at scale

Contractual partnerships with NARs and NGOs to field-test and elicit farmer

Formal / contractual

Few

Many

NUMBER OF PARTNERS

KEY

Development of a livestock vaccine

Research into climate-smart agriculture

Source: Evaluation team and ISPC (2015)

The evaluation cannot review in detail all partnership contexts and types of partnerships, but will use case studies to provide detailed information on a limited number of examples that are expected to illustrate important points. Choice of case studies is discussed in section 5.2.

5   Methodology

As previously noted this evaluation takes place at a time when the CGIAR research programming is transitioning from the first phase of the CRPs to the second, and it aims to be forward-looking and strategic and to contribute to the transition process. It benefits from the availability of evaluation reports for all 15 CRPs, some carried out by IEA and others commissioned by CRPs and supported by IEA. Proposals for all phase 2 CRPs are also available and will be considered.

The IEA evaluation of capacity development in CGIAR is taking place at the same time as the present evaluation. The teams are in consultation in order to avoid unnecessary overlap and to benefit from synergy.

There is no standardised methodology for an evaluation of this kind, which is not surprising as evaluations of partnership arrangements in large organizations are tailored to the specific purpose of the evaluation and the nature of the organization. Several references suggest topics to consider when evaluating partnerships, and a number list criteria that are useful for an organization making an assessment of its own partnerships[13].

The evaluation framework proposed in chapter 4 is designed to answer questions specific to the present needs of CGIAR and the methods used to obtain the necessary evidence will be mainly qualitative and inductive. It will not be feasible for the evaluation team to make direct measurements of the efficiency, effectiveness or relevance of partnerships, and there is no formal system within CGIAR to monitor partnership performance, that could provide consistent data across Centers or CRPs. The proposed methodology therefore relies to a large extent on testimony and scrutiny of documents together with observation at a limited number of events where partners interact. Objectivity and accuracy will be achieved through the design of question guides and through triangulation. Quantitative metrics will be used where they add value and where reliable information can be obtained.

The evaluation will address both internal and external partnerships but considers it particularly important to obtain information about a broad range of external partnerships.

The evidence required to answer the questions listed in section 4.1, and the likely sources of evidence are described in section 5.1, while 5.2 lists the methods that will be used to collect evidence.

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[13] E.g. Bezanson (2004); Gonsalves. & Hounkounnou (2006); Caplan et al. (2007); Feinstein (2010); IEG (2011); ISPCC (2015); GEF (2013);

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5.1 Evidence and sources of evidence

An indicative list of the evidence that will contribute to answering each subquestion, and possible sources of evidence, is provided in the table below.

Subquestion	Evidence that will be sought	Sources of evidence
1a) Have partnerships been strategically selected? Are they sufficiently diverse and capable to achieve CGIAR objectives?	Evidence of strategic decision-making regarding Center groupings within CRPs and choice of external partners by CRPs and centers. Existence and quality of Center and CRP partnership strategies[14], whether documented or otherwise articulated. Evidence that the CGIAR has reached out widely in seeking partners, and that the list of key partnerships has evolved according to need. Evidence that partnership models have been selected strategically to fit the needs of situations and partners.	Center and CRP strategy documents. Testimony from CGIAR and partner representatives. More detailed review of selected partnerships through case studies.
1b) Do partnerships contribute appropriately to CGIAR objectives and the mandates of external partners?	Coherence of partnerships selected with CRP research areas. Coherence of partnerships with mandates of key partner organizations and the extent to which this is considered by them to be important. Concrete examples of mutual benefits provided by the CGIAR and external partners	Mapping of key partnerships based on data provide by Centers and CRPs. Testimony from external partners. Documents from external partners where readily available.
1c) Are partnerships systematically and efficiently operated? What practical constraints do partners face?	Evidence that partnership management/implementation plans have been developed with partners. Evidence of fitness for purpose of partnership models. Identified factors that put partnerships under strain or cause conflict, and the way these have been managed.	CGIAR documents describing partnership policies and implementation plans. Testimony from CGIAR and external partner representatives. More detailed review of selected partnerships through case studies.
2a) What drivers and incentives for partnering exist at system, Center and CRP level? To what extent are they supportive of strategic and effective partnering?	Clarity and consistency of documented guidelines on partnerships from FC and articulated donor expectations of partnerships. Evidence of activities undertaken by CO and ISPC to facilitate CRPs and	CGIAR system-level documents providing guidelines on partnership. Testimony from CGIAR, donor and external partner representatives. More detailed review of selected partnerships through case studies.

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[14] A partnership **strategy** defines the way in which partnership will be used to contribute to achieving the center or CRP goals. It should be clearly aligned with the overall strategy of the Center of CRP and can be expected to evolve with the overall strategy

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2b) Are there adequate policies [15] and administrative systems to support partnerships? Is there support within the system to develop skills and competences needed for managing partnerships?	Existence and quality of documented policies, operating guidelines and procedures relating to partnership. Evidence of partnership monitoring processes at CRP/Center level. Evidence that constraints to developing and implementing partnerships are recognized and efforts made to overcome them. Existence of mentoring and training opportunities on working in partnership for research staff and partners	Center and CRP partnership policy and procedural documents. Published documents from partnership "experts" and evaluations relating to monitoring of partnerships. Testimony of CGIAR and external partner representatives on the enabling environment for operation of partnerships.
2c) To what extent do organizational learning systems and the CGIAR culture support learning about partnerships within CRPs, Centers and the system as a whole	Evidence of activities at CRP and Center level to promote reflection on partnership choices and implementation and the extent to which these have promoted change. Evidence of effective CO, ISPC or FC initiatives to promote system-wide reflection and learning about partnership. Evidence of changes made as a consequence of learning.	Center and CRP annual reports and meeting reports. Testimony from CGIAR and external partner representatives.
2d) Do the system, Centers and CRPs effectively manage the risks associated with partnership (reputational and other) – or if this has not been tested, do they have policies and procedures in place to manage risk?	Existence of documented policies and mechanisms for limiting financial or other liability within partnership agreements. Evidence that assessments of reputational risk are carried out when initiating formal partnerships. Evidence that risks encountered have been managed. Information of the extent to which the need to manage risk constitutes a constraint to partnership in the opinion of CGIAR or partners	Center and CRP partnership documents on risk management procedures and assessments. Testimony from CGIAR and external partner administrators and managers on risk management procedures and risks encountered.
3a) Have partnership resulted in access to resources that would	Trends in the level of jointly-obtained bilateral funding as a percentage of	Center and CRP annual reports and administrative databases.

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[15] A partnership **policy** defines the general principles that will govern the way a Centers or CRP works with partners.

otherwise not have been accessible (finance, human resource, technology, know-how), or in more efficient use of resources? (for example by avoiding duplication or integrating work)?	the portfolio, particularly from sources that require application by consortia or with development partners. Evidence of pooling of infrastructure and human resources internally in CGIAR or with external partners.	Detailed review of selected partnerships through case studies.
3b) Do CGIAR and partners have a better understanding of each other and the problems they face?	Evidence of CGIAR engagement with national agenda-setting processes of developing countries. Matching testimony from external partners and CGIAR staff.	Published reports of agenda-setting exercises from GFAR, Centers and CRPS. Testimony from donors and from partner representatives in selected countries.
3c) To what extent are effective partnerships contributing to production of research outputs? Have the number/quality of joint outputs increased?	Trends in production of jointly-authored documents and jointly-developed/ jointly-patented technologies. [note the evaluation cannot directly evaluate the quality of outputs and will need to use proxies such as papers published in peer-reviewed journals and successfully-patented technologies]	Annual reports and publication databases.
3d) To what extent are effective partnerships contributing to development outcomes? Do CGIAR and partners have more influence on national/regional/global agenda-setting? Are there indications that partnership has provided greater ability to deliver technology or policy at scale?	Representation (membership) or influence (commissioned publications or other advisory activities) of CGIAR and strategic partners in regional and global decision-making bodies. Demonstrable links between key published outputs from CGIAR partnerships and published national or regional policies. Testimony from representatives of regional/global institutions that CGIAR is moving towards the role of "trusted advisor and service provider relating to the international development agenda".	Testimony and documents from key informants in regional and global bodies. Published policy documents of Centers and CRPs. Detailed review of selected partnerships through case studies.
3e) Is CGIAR recognized as an effective partner? Is it is being sought out as a partner (including for initiatives that are not CGIAR-led)?	Increased presence of CGIAR Centers and staff in non-CGIAR partnerships relevant to its mandate that are led by others. Information on the attractiveness (or otherwise) for external partners of engaging in a CRP or a Center-led partnership.	Information from Center and CRP representatives (to identify partnerships that CGIAR contributes to but does not lead) and testimony from representatives of partners (on CGIAR contributions and reasons for soliciting CGIAR engagement). Comment from external partners on attractiveness of participating in CGIAR-led partnerships

5.2   Methods

The methodology will be mainly qualitative, with a quantitative element limited to descriptive statistics, mostly of secondary data. Evidence will be collected across the CGIAR and through in-depth case studies. The evaluation process will ensure that in developing findings, conclusions and recommendations a representative range of viewpoints are captured from stakeholders through broad consultation. Evidence will be triangulated by using more than one tool to answer each sub-question and obtaining testimony from more than one source on each topic. Conclusions will be drawn objectively and based on evidence.

The following sections describe the activities that will be carried out.

5.2.1   Synthesis of evaluative information on partnerships

> Contribution to the evaluation:
> - Provide background information from reviews previously published on the drivers behind the reform and the state of CGIAR partnerships
> - Assess the extent to which it is possible to establish a baseline or baselines for the evaluation.
> - Provide ideas on methodology

This exercise has been initiated during the inception period. Information on and relevant to partnerships was extracted from evaluation reports and a preliminary synthesis was done. Further documents will be reviewed, and the exercise completed, at the start of the inquiry period.

The following sets of documents have been consulted:
- Reports of CRP evaluations
- Reports of previous reviews of partnership carried out by and for the CGIAR e.g. the ISPC strategic study published in 2015
- ISPC commentaries on CRP Proposals

5.2.2   Exploratory interviews

> Contribution to the evaluation:
> - Provides background information on the history of partnerships in CGIAR
> - Provides perspectives on issues that are considered to be important by CGIAR and external partners, and hence guides the development of evaluation questions
> - Provides information on CGIAR structure and organizational culture relevant to partnerships
> - Contributes to answering SQ1a, 2a and 2b

Exploratory face-to-face interviews were carried out with nine CRP managers, two Center DDGs, representatives of ISPC, the CO, the FC and GFAR and representatives of two external partner organizations (IFAD and FAO). A list of those interviewed is provided in Annex B.

5.2.3   Characterization of partnerships

> Contribution to the evaluation:
> - Contributes to answering SQ1a and 1b

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> • Guides the selection and design of case studies

This process has begun during the inception phase with the development of the conceptual framework for a partnership landscape described in section 4.2

The work to be done during the enquiry phase will consist of mapping the key partnerships of Centers and CRP within the partnership landscape. Centers and CRPs will each be asked to provide a list of a limited number of key partnerships (as identified by themselves) together with specific information that will allow the evaluation team to characterize and map the partnerships.

In addition, the following data will be reviewed:
- Available data from the CGIAR Stakeholders Perception Survey conducted by the Consortium Office (2012)
- Data collected by the previous Institutional Learning and Change initiative, including data on CRP networking
- Others as identified.

5.2.4 Review of literature on drivers, strategies, policies and implementation

> Contribution to the evaluation:
> • Contributes to answering SQ1a, 1c, 2a, 2b, 2c and 2d

The evaluation will search for and review documented evidence of partnership strategies, policies and implementation plans, as well as reflection and learning related to partnerships, at all levels of CGIAR but particularly from CRPs and centers. It will also compare CGIAR partnership strategies and policies with those of selected key partners or MSPs.

A partnership strategy defines the way in which partnership is to be used to contribute to achieving goals. CGIAR partnership strategies can be expected to evolve with the overall strategies of Centers and CRPs.

A partnership policy defines the general principles that will govern the way partnerships are implemented. Unlike the strategy it does not describe the way that partnerships are expected to contribute to impact. To illustrate the difference between the two: a strategy might state that "partnership with multi-national private sector organizations will be needed to ensure production at scale and sustainable delivery of technology x" while a policy might indicate that "when partnering with multi-national private organizations the CRP will ensure that needs of smallholder farmers are met".

Implementation plans cover the "nuts and bolts" of operating in a partnership, including financial and legal arrangements and mechanisms for handling conflict.

The evaluation does not take a prescriptive view of the way strategies, polices and implementation plans should be presented. For example, strategies may include stand-alone strategy documents, sections of proposals, or other written statements of intent – and in some cases they may be articulated and well understood by management teams but not written down. Policies and implementation plans should be written down and may be combined in a single stand-alone document or incorporated into a more general administrative guidelines.

Annual reports should include information from monitoring of partnerships, if procedures are in place to do this.

The review will include documents from all Centers and CRPS and a selection of external partners.

Sources of published information will include the following:
- Published partnership strategies of key partner organizations
- Published partnership strategies of Centers and CRPs, including those in CRP proposals and extension proposals from phase 1 and CRP2 proposals
- Reports of CRP evaluations
- Reports of previous reviews of partnership carried out by and for the CGIAR
- Reports on activities to promote reflection and learning about partnerships e.g. in annual reports and workshop reports from Centers and CRPS and published documents of ISPC
- Published theories of partnership where relevant

5.2.5   *Review of literature and data on delivery through partnerships*

Contribution to the evaluation:
- Contributes to answering SQs 3a, 3b, 3c, 3d

The evaluation will review available literature and data on:
- Funding associated with partnerships
    - CRP budgets specifically earmarked for partnerships
    - Value of funding provided to W3 and bilateral projects involving partnerships (based on Center and CRP records).
- Use of partner facilities by CGIAR and vice versa, based on annual reports.
- Trends in CGIAR participation in selected regional agenda-setting initiatives and in the agenda-setting initiatives of countries where CGIAR has sizeable and well-established research programmes.
- Trends in the number of peer reviewed publications by CGIAR staff together with partners and/or the diversity of partner co-authors in 2011-2012 compared to 2015-2016.
- National and policy and strategy papers published by CRPs and those commissioned from national governments.
- CGIAR participation in selected regional and global decision-making bodies, including identity of official focal points and information on activities carried out, from annual reports.
- Numbers of non-CGIAR led partnerships in which Centers are engaged (to be requested from Center administrators)

5.2.6   *Interviews with key informants*

Contribution to the evaluation:
- Contributes to answering all SQs

Center managers, CRP leaders, a selection of administrators, a selection of researchers, representatives of external partner organizations and other key informants will be individually interviewed on Skype or by telephone, or face to face when the opportunity presents. Approximately 120 interviews will be conducted by the evaluation team, of which approximately 50% are expected to be with external partners. The number of interviews considered necessary will be guided by the extent to which new information continues to emerge. For practical purposes, responsibilities will be distributed mainly according to geography (the team are based respectively in Latin America, Europe and Asia). In addition, 10-20 interviews will be carried out by IEA to solicit information from a wider range of from donors and administrators[16].

The evaluation will ensure that information is solicited from all CRPs and Centers and a sample of external partners that will be grouped into: donors; key external partners; and other external partners (national and international) In addition a small number of key informants with deep knowledge of CGIAR will be interviewed. Interviews will be semi-structured, using a core set of common questions for each group of interviewees as well as situation-specific questions.

Questions will be designed to elicit information that is not available from published documents, and where relevant to triangulate or clarify information from published documents.

5.2.7   Electronic survey of CGIAR researchers

Contribution to the evaluation:
- Contributes to answering SQs 1b, 2b, 2c, 2d

The evaluation proposes to conduct one electronic survey of CGIAR researchers. It will be run during the second half of the enquiry period, to answer emerging questions that require a response from a wide range of people. The survey will be short and carefully targeted and the questions will complement those from surveys carried out during 2015 for CRP evaluations. At present it is not proposed to run an electronic survey of external partners, for the following reasons: a) the diversity of partners means that it is not likely to be possible to develop a meaningful set of questions applicable to all; and b) response rates are likely to be low making the results of limited value.

5.2.8   Case studies

Contribution to the evaluation:
- Contributes to answering all SQs, and specifically to adding detail in areas where other methods do not, and providing information on the evolution of partnerships over time.

Three case studies will be conducted, each including two examples. They will focus on the relationships between Centers/CRPs and their external partners. The case study topics are as follows:
   A.   Engagement in multi-stakeholder partnerships to address complex global challenges
   B.   Scaling of technology through partnership

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[16] Note that additional interviews will be carried out for case studies

C. Partnering for better strategic research

A shortlist of examples has been chosen and is undergoing final screening. Each case study will include one partnership in which private sector partners are involved.

The topics have been chosen to contribute to answering specific SQs and lines of enquiry, but can also be expected to be exploratory.

Case studies are expected to add value to the evaluation in three ways:
- They will add richness and detail to what can be learned from literature review and general-purpose interviews
- They will provide opportunities to explore the evolution of partnerships over time and the factors contributing to changes
- They will enhance the possibility of assessing what has specifically been contributed by the reform process

The evaluation intends to use a life history approach to facilitate exploration. A structured approach to the life histories, with particular issues earmarked for enquiry, will ensure that the case studies make clearly identified contributions.

The following criteria will be applied when identifying case studies.
- Illustrates important issues for the evaluation that cannot be explored fully by other means (see list of issues by key question below)
- Has sufficient history to illustrate evolution of a partnership/partnerships
- Is of manageable size and complexity so that it can be thoroughly explored and reported in the time available
- It is likely that one of the chosen case studies will be a topic with which one of the evaluation team is already familiar (e.g. has made a field visit during a previous evaluation)

The range of case studies chosen should between them allow all of the following to be explored (although the range of enquiry will not be limited to these points):
- Key question 1 (To what extent have actions taken by the CGIAR since 2008 resulted in strengthened partnerships?)
  - Strategies that have been applied to identify partners and partnerships suitable for a) discrete and b) complex challenges. Factors that drive or limit choice of partnerships for each type of challenge.
  - Evolution of partnership strategies over time as needs change (for example, as activities progress along an impact pathway).
- Key question 2 (To what extent do the CGIAR's systems facilitate good partnering and has this improved as a result of the reform?)
  - The extent to which CGIAR systems can deal with signals from different donors, operating in different guides, about partnering requirements and expectations from partnerships.
  - Differences in the practical operating requirements of partnerships of different types (structured vs unstructured; small vs and large; with private vs public

sector partners) and the extent to which Center and CRP administrative systems can accommodate them.

- o Evolution of partnership models and operations over time within partnerships of different types, and the extent to which it has been informed by intentional reflection and learning.
- Key question 3 (To what extent are partnerships making the CGIAR more effective in delivering on its agenda?)
  - o Examples where CGIAR has deliberately expanded access to a) physical resources and c) knowledge through partnership
  - o Examples of intentional action through partnership to improve delivery of a) technology and b) policy advice

The case studies will follow a common template, where the organising principle is expected to be the life-history of the partnership. They will use the same methods of collecting data (published literature and data, interviews) as the other activities. Approximately 30 interviews will be conducted in addition to those previously described in 5.2.6, to ensure that in-depth testimony is obtained from several perspectives. The evaluation will also take advantage of opportunities to add value through observation e.g. by attending a partnership meeting or event or visiting a field site. These will need to be carefully chosen to ensure that they add value and make good use of time and resources available.

5.3 Main challenges of the evaluation

The biggest challenge facing this evaluation is that, while it is widely agreed that partnerships are important to CGIAR, they are a means to an end rather than a deliverable. As a consequence, Centers and CRPs are expected to implement effective partnerships, and required to state in programme documents that they are doing so, but there is no specific accountability mechanism for the state of partnerships. Many research managers have an interest in implementing effective partnerships and a number of outside stakeholders have been vocal about the need for CGIAR to partner effectively, but there is no common, documented and clear definition of what a good result would look like. There have been many reviews of partnerships but no previous evaluations, and there is no obvious baseline against which to measure progress. Because of the nature of the evaluation topic, this evaluation will necessarily be consultative, and will be aiming to assess the evolution of partnerships rather than to measure what has been achieved against defined targets.

Given the large number of partnerships at different levels in the CGIAR, the evaluation will not be able to describe the status of partnerships in a comprehensive manner. Sampling and case study selection will facilitate efficient use of resources, and purposeful design of the evaluation will aim to produce as representative and relevant evidence as possible. The vast spread of partners globally and regionally, and the lack of comprehensive databases with partner information will limit the representativeness of partners that the evaluation can contact for interviews and make it impossible to meet them or observe the way that partnerships are implemented. The evaluation also needs to be cautious not to put undue burden on Centers and CRPs requesting data and information. All of the above have been considered in the design of the evaluation and account for the strong reliance on Skype and phone interviews.

6 Organisation and timing

6.1 Roles and responsibilities

The **IEA** will be responsible for planning, initial design and management of the evaluation. An IEA Senior Evaluation Officer will manage the evaluation and an IEA Evaluation Analyst will support the team in coordination, information gathering and providing inputs to analysis, including the administration of the electronic survey.

The **evaluation team leader** has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR evaluation standards. The team leader is also responsible for submitting the deliverables as outlined below. Responsibilities of team members are outlined in table 2. They are delineated mainly by geography.

Table 1: Responsibilities of team members

Team member	Main responsibilities
Anni McLeod	- Leader on characterization of partnerships - Review of literature on drivers, strategies, policies and implementation - Development of question guides for interviews with Center and CRP representatives. - Development of a template for case studies. - Review of information on CGIAR participation in regional agenda-setting initiatives and decision-making bodies in Africa. - Summary of information on trends in funding and use of facilities and on numbers of non-CGIAR led partnerships in which Centers are engaged (to be requested from Center administrators) [based on analysis by IEA] - Interviews with Center and CRP representatives, external partners and other key informants based in Europe and Africa. - Leader and main contributor to development of two case studies. - Contribution to analysis. - Leader in preparation of final report.
Paul Teng	- Interviews with Center and CRP representatives, external partners and other key informants based in Asia. - Leader and main contributor to development of two case studies. - Review of information on CGIAR participation in regional agenda-setting initiatives and decision-making bodies in Asia. - Contribution to analysis of trends in the number of peer reviewed publications by CGIAR staff and partners - Contribution to other analysis. - Contribution to final report.
Julio Berdegue	- Interviews with Center and CRP representatives, external partners and other key informants based in the USA, Canada and Latin America. - Leader and main contributor to development of two case studies.

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- Review of information on CGIAR participation in regional agenda-setting initiatives and decision-making bodies in Latin America.
- Contribution to analysis of trends in the number of peer reviewed publications by CGIAR staff and partners
- Contribution to other analysis.
- Contribution to final report.

In addition to an evaluation team of three persons, the IEA is engaging a **Resource Group of experts** to act as a sounding board representing different and broader experience and expertise in agricultural research for development partnerships than is possible to cover in a small evaluation team. The resource group members will provide inputs in specific areas of the evaluation, ranging from peer review of the evaluation results, input to methodology and perspectives on specific types of partnership. The resource group has no oversight role in the evaluation. Information about the members of resource group is provided in Annex A. Their roles are described in table 3.

Table 2: Resource group members

Name	Expertise	Tasks/Output
Peer reviewers		
Ed Rege	Animal genetics Research partnerships Evaluation	• Review the draft inception report and draft evaluation report and provide feedback and comments on methodology and content
Jim Sumberg	Farming systems Evaluation	• Provide suggestions to the evaluation team regarding issues to address in the evaluation • Provide suggestions to the evaluation team regarding people and organizations to consult during the evaluation
Other		
Javier Betran	Plant breeding Seed sector (maize) Private sector	• Provide insights into partnerships with the private sector. • Suggestions for organizations and individuals to be contacted by the evaluation team during the evaluation; facilitation of such contacts
Holly Dublin	Conservation and development Evaluation	• Contribute to the design and provide inputs to a case study on environment/natural resource management and the partnership landscape and expectations from CGIAR
Julian Gonsalves	International agriculture and rural development. Action research/participatory approaches upscaling and outscaling strategies	• Advice and input on development partnerships, particularly the role of partnerships involving civil society and farmers organizations for enhancing CGIAR effectiveness; this may involve a brief written contribution to a case study. • Suggestions for organizations and individuals to be contacted by the evaluation team

		during the evaluation; facilitation of such contacts • Comments and feed-back on draft evaluation report.
Selcuk Ozgediz	Management and governance	• Input regarding the historic development partnerships in CGIAR, particularly driven by the recent reforms; this may involve a written contribution. • Comments and feed-back on draft evaluation report.

6.2 Quality Assurance

The IEA will be responsible for quality assurance of the evaluation process and outputs, and dissemination of the results. All evaluation products will be reviewed internally by the IEA.

Apart from the internal review and quality assurance of the process, two members of the resource group of experts will conduct peer review of the draft inception report and draft evaluation report. They will provide comments on the approach and methodology (inception report) and on the evaluation report.

Inception report: The report presents a transparent description of the methodology applied to the evaluation that clearly explains how the evaluation is specifically designed to give answers to the evaluation questions and achieve evaluation purposes. It describes the data collection methods and analysis, the rationale for selecting them, and their limitations. It describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how the mix of data sources will be used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits.

Evaluation report: The report should be well structured, logical, clear and coherent. The findings of the evaluation report should reflect systematic analysis and be substantiated by evidence. The conclusions should reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation.

6.3 Timeline

The evaluation is scheduled to take place between April and December 2016. The following is a summary of the phases, with the timeline shown in Table 3:

- Preparatory phase, when the team was established and the ToRs drawn up. This phase is complete.
- Inception phase, when a resource group was assembled, the inception meeting held and the inception report prepared.
- Inquiry phase, when the main work described in 5.2.3-5.2.8 is carried out. Preliminary analysis will be carried out throughout this phase.

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- Analysis phase, when the main analysis is done and the findings agreed and shared with main stakeholders.
- Reporting and dissemination phase, when the analysis id completed and the evaluation report prepared.

Table 3. Schedule and phases of the evaluation in 2016

Phase	Period	Main outputs	Responsibility
Preparatory Phase	Jan – Mar	**Terms of Reference**	IEA
		Evaluation team recruited	
		Expert Panel engaged	
Inception Phase	Apr - Jun	**Inception Report**	Team leader and IEA
Inquiry phase	Jul – Sep	Studies and analysis products as defined in inception report	Evaluation team
Analysis phase and presentation of preliminary findings	Oct	Presentation of preliminary findings	Evaluation team
		Feedback from main stakeholders	IEA
Reporting phase	Oct – Dec		
	Oct – Nov	**Draft Evaluation Report**	Evaluation team
	Dec	**Final Evaluation Report**	Team leader and IEA

6.4   Deliverables and dissemination plans

The **Evaluation Report** - the main output of this evaluation - will describe findings, conclusions, and recommendations, based on the evidence collected in the framework of the evaluation questions defined in the Inception Report. The draft report will be shared with key stakeholders before being finalized.

Presentations will be prepared by the Team Leader and IEA for disseminating the Report to targeted audiences.

Recommendations and response: The recommendations will be informed by evidence, relevant, focused, clearly formulated and actionable. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings and recommendations will be summarized in an executive summary. The recommended length of the final report is maximum 80 pages, excluding the executive summary and annexes
The IEA will interact with the main stakeholders (The System Council, The System Management Board, the ISPC and the System Administrative Office) for development of a **system-wide response/commentary**. In such a response, action items could be identified for addressing recommendations that may be specifically targeted to specific bodies of the System.

As the CGIAR is undergoing a governance reform, the details about the response on the report will be decided at a later stage. The new System Council will be the ultimate recipient of the evaluation report and the response.

The evaluation report and the response will be public documents made available to the System Council. A dissemination strategy will be developed during the evaluation process and it will also depend on the results of the governance reform

Presentations will be prepared by the team leader for disseminating the report to targeted audiences as agreed with the IEA. The exact forms of these presentations will be agreed during the inception phase.

In the context of the current transition discussions, it is expected that the System Management Office will coordinate the preparation of a system-wide response, in consultation with the System Management Board, and present this system-wide response (with specific identification of recommendations that are fully accepted, partially accepted, or otherwise) for consideration and decision of the System Council of the CGIAR.

References

Documentation which was reviewed and summarized for inception phase:
- CRP Phase I Proposal Documents (2010-2012)
- CRP Phase II Proposal Documents (2015)
- ISPC commentaries on CRP Phase I Proposal Documents (2010-2012)
- ISPC commentaries on CRP Phase II Proposal Documents (2015)
- IEA commissioned evaluations of CRPs (2014-2016)
- CRP commissioned evaluations of CRPs (2015-2016)

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Annex A: Evaluation team and resource group

Evaluation team profiles

Anni McLeod (team leader)

Anni is a livestock economist with extensive experience in research strategy, planning and management. She has a PhD on Modelling the epidemiology of infectious animal diseases from The University of Reading, UK. Anni has worked for 30 years with governments, international agencies and research systems worldwide. For seven years Anni was the Senior Livestock Policy Officer in the Animal Production and Health Division of FAO, she also contributed to FAO's culture change initiative and to the strategy for the gender programme. For four years she was based at the Kenya Agricultural Research Institute as leader of the socio-economics skills group for a DFID-funded project. Recently Anni was the team leader in the IEA commissioned evaluation of the CGIAR Research Program on Livestock and Fish.

Julio Berdegue Sancristan

Julio is Principal Researcher at Rimisp-Latin American Center for Rural Development, Santiago, Chile. He holds a Ph.D. in Social Science from Wageningen University, The Netherlands. Julio has published extensively on different aspects of rural development, including on territorial development, rural non-farm employment, the role of small and medium cities in rural development, and the changing structures of agri-food and rural markets. He has worked as a consultant for international bodies such as the World Bank, the International Fund for Agricultural Development (IFAD), the Inter-American Development Bank, FAO; research and higher education establishments in the US and Europe; and for Latin American governments and small farmer economic organisations. He is a member of the Editorial Board of the Agricultural Economics Journal.

Paul Teng

Paul is Professor and Dean of the Graduate Studies and Professional Learning at the National Institute of Education, Nanyang Technological University in Singapore. He has a PhD on Agricultural microbiology/System research from University of Canterbury in New Zealand. In early 2000 he was DDG of Reach at the World Fish Center and previous to that worked for Monsanto as Asia-Pacific Vice President on Public Affairs and Asia-Pacific Director on Science & Technology. In 1990s he was at IRRI as Program leader on cross-ecosystems research. He has participated in several boards, advisory bodies and reviews on S&T. Recently Paul was a team member in the IEA commissioned evaluation of the CGIAR Research Program on Global Rice Science Partnership (GRiSP).

Resource group profiles

Javier Betran

Javier has a PhD in plant breeding. Javier is currently the Head of the Maize Breeding Europe, Africa and Middle East for Syngenta. He is an expert in Plant breeding, quantitative genetics, agronomy, statistics, biotechnology, environment, abiotic and biotic stresses, and people development. Javier has extensive international experience in maize breeding. He has a large

publication record on maize breeding, and was a postdoctoral research and breeder at CIMMYT in 1990s. He has collaborated with international organizations like the Rockefeller Foundation as well as CGIAR centers. Javier was an evaluation team member in the evaluation of the CRP on MAIZE (2015).

Holly Dublin

Holly has more than three decades experience in the field of sustainability. Holly is a specialist in linking the inherent values of biodiversity and ecosystem services to human livelihoods and well-being. Working for 20 years at WWF's Africa & Madagascar Programme, she has also served as the elected Chair of the Species Survival Commission, the largest of six Commissions of the IUCN with over 7,500 conservation scientists and practitioners. Holly has been the Chair of the IUCN SSC's African Elephant Specialist Group for more than 20 years. She has led many technical evaluations for the GEF, UNEP, IUCN, WWF and other NGOs and development agencies.

Julian Gonsalves

Julian is an experienced facilitator, manager, action researcher and advocate for over 35 years in the areas of international agriculture and rural development. Julian served for three years on the CGIAR's NGO Committee, which was set up in 1995. He is a proponent of participatory approaches. He has worked in more than 35 countries since his career in 1980 . He has a Phd in extension education and international agriculture from Cornell University, Ithaca, New York, which he pursued under a grant from the Rockefeller Foundation. He has a Masters Degree from Michigan State University where he specialised in knowledge utilization strategies. He has a BS degree in Agronomy from the University of Agricultural Sciences in Bangalore, India.

Selcuk Ozgediz

Selcuk spent most of his working life at the World Bank. He worked for 27 years with the CGIAR, as part of the Fund Office (former Secreteriat), based in the World Bank. As a final task for the CGIAR he prepared an institutional history of this global research system, which was published by the CGIAR Fund Office in 2012. Selcuk was also part of the Working Group 2 on Partnerships during the Reform Process of the CGIAR. In recent years Selcuk has served as consultant to several other World Bank units, including the World Bank Inspection Panel, Eastern Europe and Central Asia and Middle East and North Africa. He has a PhD in Political Science from Michigan State University.

Ed Rege

Ed is an animal scientist with a strong background in animal genetics and breeding. He has a combined teaching and research experience of over 30 years, and has authored or co-authored some 225 publications, including 178 peer-reviewed scientific articles and tech-nical papers in conference proceedings, with emphasis on genetic improvement of livestock and livestock management. He is also a trained and experienced organizational development expert, skills which he has effectively used in supporting his work as a senior manager in ILRI (International Livestock Research Institute) and its partners, in project development and implementation processes. An ardent trainer, he has supervised over 20 MSc and PhD stu-dents, several research fellows and Postdoc fellows. Prior to joining ILCA (now ILRI), he was a senior lecturer

in quantitative genetics, animal breeding and biometrics at the University of Nairobi where he was head of Animal Breeding and Genetics and developed a strong ca-pacity building program for staff development in animal sciences. He was, for many years, a keen researcher in conservation, improvement and utilization of indigenous agro-biodiversity in the context of livestock development in developing countries and has extensive experience in sub-Saharan Africa and Asia. At ILRI, he was the initiator and Head of Animal Genetic Resources program and coordinated global activities on characterization and conservation of indigenous animal genetic resources of developing countries for over 12 years. Before start-ing PICO-Eastern Africa, he was the Director of the Biotechnology Theme of ILRI, the pro-gram content of which included the development of vaccines and diagnostic tools for tropical livestock diseases, gene discovery and delivery of genetic change, and characterization and conservation of animal genetic resources.

Jim Sumberg

Jim is a Research Fellow at the Knowledge, Technology and Society Team, Institute of Development Studies (IDS) at University of Sussex. He is an agriculturalist by training, with PhD from Cornell University on Plant Breeding and Animal Nutrition, and has over 25 years of experience of research on small-scale agriculture, natural resource management, agricultural research policy, and food and rural development in tropical regions, with a particular emphasis on sub-Saharan Africa. He has participated in evaluation of agriculture and natural resource management projects. His past work experience includes, among other, The New Economics Foundation in London, University of East Anglia (Senior Lecturer in NRM) and CARE, and brief periods in WARDA and CIAT. He has published in change in agricultural systems, innovation and policy. Jim was the evaluation co-team leader of the evaluation of the CRP on Aquatic, Agricultural Systems (2015).

Annex B: Interviews conducted - inception phase

CRP leaders

Interviewee	CRP	Position in CRP	Center
Shoba Sivasankar	GL/DC	Leader	ICRISAT
Karen Brooks	PIM	Leader	IFPRI
Victor Kommerell	WHEAT	Program manager	CIMMYT
Dave Watson	MAIZE	Program manager	CIMMYT
Tom Randolph	L&F	Leader	ILRI
Kwezi Atth-Krah	former HUMIDTROPICS	Leader	IITA
Bill Downing	former AAS	Head of Partnerships	formerly WorldFish
Graham Thiele	RTB	Leader	CIP
Bruce Campbell	CCAFS	Leader	CIAT

Center Management

Interviewee	Center	Position
Marianne Banzinger	CIMMYT	DDG Research and Partnerships
Ylva Hillbur	IITA	DDG Research

Other CGIAR

Interviewee	Unit	Position
Frank Rijsberman	Consortium Office	CEO
Maggie Gill	ISPC	Chair
Jereon Dijkman	ISPC	Senior Agricultural Research Officer
Jonathan Wadsworth	Fund Office	Executive Secretary of the Fund Council and Head of Fund Office
Mark Holderness	GFAR	Executive Secretary of the GFAR Secretariat

External partners

Interviewee	Organization	Position
Ren Wang	FAO	Assistant Director General, Agriculture and Consumer Protection Department (also the FAO focal point for partnership with the CGIAR)
Marcela Villareal	FAO	Director of the Office for Partnerships, Advocacy and Capacity Development (OPC),
Karin Nichterlein	FAO	Agricultural Research Officer, Research and Extension Unit (DDNR). Formerly liaison with CGIAR.
Shantanu Mathur	IFAD	Manager, UN RBA Partnerships

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Annex C: Work Plan

MAIN TASKS	START	END	MAIN INPUT	SUPPORTING INPUT
PREPARATION		**31/03/2015**		
Recruitment of team members			IEA	
Preparation of TOR			IEA	
INCEPTION	**1/04/2016**	**30/06/2016**		
Preliminary interviews			McLeod	
Literature review			McLeod	
Inception meeting		3/06/2016	McLeod IEA	Teng, Berdegue
Selection of first tranche of interviewees		24/06/2016	McLeod	Teng, Berdegue IEA
Identification of case studies		24/06/2016	McLeod, Teng, Berdegue	IEA
Drafting and internal review of inception report		30/06/2016	McLeod	Teng, Berdegue, Sumberg, Rege IEA
Preparation of semi-structured interview guidelines		Teng, Berdegue	McLeod	Teng, Berdegue
Define data required from CRPS and Centers		Teng, Berdegue	McLeod	
INQUIRY	**01/07/2016**	**31/09/2016**		
Selection of remaining interviewees – in stages		31/07/2016	McLeod	Teng, Berdegue
Characterization of partnerships		31/08/2016	McLeod	Teng, Berdegue
Literature and data compilation and descriptive analysis		31/07/2016	IEA	
Review of literature on drivers, strategies, policies, implementation		31/08/2016	McLeod	Ozgediz
Review of literature and data on delivery through partnerships		31/08/2016	McLeod, Teng, Berdegue	
Design of electronic survey		31/08/2016	McLeod	Teng, Berdegue IEA
Implementation of electronic survey		31/09/2016	IEA	
Interviews		31/09/2016	McLeod, Teng, Berdegue	IEA
Team review of emerging findings	5/09/2016	7/09/2016	McLeod, Teng, Berdegue	
Case studies		31/09/2016	McLeod, Teng, Berdegue	Dublin, Bertran, Gonsalves
ANALYSIS		**01/10/2015**		
Analysis and preparation for write-shops			McLeod, Teng, Berdegue	
Analysis write-shop Rome	17/10/2016	21/10/2016	McLeod, Teng, Berdegue	

Follow-up analysis		31/10/2016		
REPORTING				
Draft evaluation report		14/11/2016	McLeod	Teng, Berdegue
Internal review and revisions		5/12/2016	McLeod	Teng, Berdegue IEA
Peer review				Resource group members
Final report				

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Annex D: Provisional structure of the final report

- Executive summary
- Introduction
- Methodology
- Evolution of partnerships
  - A summary of main changes during the period evaluated with reference to the pre-reform situation
- The state of partnerships
  - Findings related to key question 1
- The enabling environment
  - Findings related to key question 2
- Delivery through partnerships
  - Findings related to key question 3
- Conclusions and recommendations
- References, annexes as needed

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