




RESEARCH  
PROGRAMON  
Dryland Systems

A decorative graphic consisting of several overlapping, wavy bands in shades of brown, yellow, blue, and green, resembling a stylized landscape or agricultural field. Below the graphic are three small, light gray, downward-pointing arrowheads.

# Center-Commissioned Evaluation of the CGIAR Research Program 1.1: Dryland Agricultural Systems

## **Inception Report**

**Date: 4 May 2015**

**Commissioned by CRP 1.1 (Dryland Systems)**

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## Acronyms

AFESD	Arab Fund for Economic and Social Development
ACIAR	Australian Centre for International Agricultural Research
ALS	Agricultural Livelihood System
AR4D	Agricultural Research for Development
BoT	Board of Trustees
CA	Central Asia
CCEE	CRP-Commissioned External Review
CD	Capacity development
CDWG	Capacity Development Working Group
CIAT	International Center for Tropical Agriculture
CIP	International Potato Center
CKSG	Communications and Knowledge Sharing Group
CO	Consortium Office
CRP	CGIAR Research Program
CRP-DS	CGIAR Research Program on Dryland Systems
CPWF	Challenge Program on Water and Food
DDG	Deputy Director General
DG	Director General
DGIS	Directorate-General for International Cooperation (Netherlands)
EP	Extension Proposal
ESA	East and Southern Africa
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FC	Fund Council
FFS	Farmer Field School
FP	Flagship Program
GWG	Gender Working Group
IAU	Internal Audit Unit
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	International Centre for Research in Agroforestry (World Agroforestry Center)
ICRISAT	International Crops Research Institute for the Semi-Arid-Tropics
IDO	Intermediate Development Outcome
IEA	Independent Evaluation Arrangement
IFAD	International Fund for Agricultural Development
ILRI	International Livestock Research Institute
IPG	International Public Good
ISAMG	Integrated Systems Analysis and Modelling Group
ISC	Independent Steering Committee
ISPC	Independent Science and Partnership Council
IWMI	International Water Management Institute
M&E	Monitoring and Evaluation
NARS	National Agricultural Research Systems
NA&WA	North Africa and West Asia
NGOs	Non-Governmental Organizations
PIA	Performance Implementation Agreement
POWB	Plan of Work and Budget

PMU	Program Management Unit
R4D	Research for Development
R&D	Research and Development
RMC	Research Management Committee
S&IM	Science and Implementation Meeting
SA	South Asia
SARD-SC	Support to Agriculture Research for Development of Strategic Crops in Africa
SRF	Strategy and Results Framework
SLO	System Level Outcome
SRT	Strategic Research Theme
SWOT	Strengths, Weaknesses, Opportunities and Threats
TF	Task Force
ToR	Terms of Reference
USAID	United States Agency for International Development
WAS&DS	West African Sahel and Dry Savannas
UN	United Nations

## Acknowledgements

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We cannot name all those who have assisted us but wish to make special mention of the following: Sara Jani, CRP-DS Program Administrator who has been extremely helpful in arranging all the logistics and been extraordinarily patient when we have been somewhat demanding; Enrico Bonaiuti, CRP-DS Program Manager, who has been extremely active, indeed pro-active in supporting the team; and Richard Thomas, CRP-DS Program Director who has been very supportive and open throughout the process. At the time of the CCEE team's interactions with the CRP-DS PMU members, they were handling multiple tasks simultaneously: managing the Task Force meeting, planning and managing the Research Management Committee, Science and Implementation Meeting, and the Independent Steering Committee meeting, while also preparing a major presentation for a discussion scheduled at the next CGIAR Fund Council meeting.

Finally, we are also grateful to the members of the CCEE Oversight Committee, which is chaired by Jan de Leeuw (World Agroforestry Center), and to Urs Zollinger representing the CGIAR Independent Evaluation Arrangement (IEA), for their detailed and useful comments on the draft of this report.

The CCEE Team  
4 May 2015

# 1. Introduction

## 1.1 Origins, purpose and users

According to the Strategy and Results Framework (SRF) of the CGIAR (CGIAR 2011), most of the work carried out by the 15 CGIAR centers is being implemented through “CGIAR Research Programs” (CRPs). Currently there are 15 CRPs plus a separate program to support gene banks (sometimes considered to be the 16<sup>th</sup> CRP). CRPs are the key instruments for addressing the four strategic system level outcomes (SLOs) identified by the CGIAR. The four current SLOs are reduction of rural poverty, increasing food security, improving nutrition and health, and more sustainable management of natural resources. CRPs are intended to enable a clear linkage between CGIAR research and achieving desired development outcomes through “agricultural research for development” (AR4D). Partnerships among research institutions and between research institutions and development-oriented institutions are a critical characteristic of CRPs as they are the mechanisms for achieving a critical mass of research competence linked via clear impact pathways to specific development outcomes.

During 2014-2015, all of the CRPs are undergoing external evaluations. In some cases the CGIAR’s Independent Evaluation Arrangement (IEA) is directly managing the evaluation, while other CRPs are being evaluated by CRP-commissioned teams. In these cases, IEA provides quality control services (Section 5.4, below). The CRP Drylands Systems (CRP 1.1, hereafter ‘CRP-DS’) evaluation is a CRP-Commissioned External Evaluation (CCEE). According to the CCEE Terms of Reference (ToR), the evaluation has four main purposes:

1. To enhance the contribution of the CRP-DS to reaching CGIAR goals and to finding solutions to problems characterizing dryland agricultural systems in order to sustainably increase productivity, reduce hunger and malnutrition, and improve the quality of life of the rural poor;
2. To provide useful evaluative information to CRP-DS stakeholders that will inform the development of their full proposals for the upcoming Second Call for CRP proposals;
3. To inform the CRP appraisal process carried out by the Independent Science and Partnership Council (ISPC), CGIAR Fund Council (FC) and CGIAR Consortium Office (CO) with respect to the adequacy of CRP-DS management structures and systems and the likelihood of achieving results; and
4. To provide lessons learned and recommendations for the future in a forward-looking manner. The recommendations are also intended to feed into immediate decision making by senior CRP management on such dimensions as what adjustments may be needed in research lines, management and partnerships, whether to modify the skill and disciplinary mix of researchers, and whether to continue, increase or decrease funding for particular themes or research components.

The objectives of this CRP-DS evaluation as stated in the ToR are to:

1. Verify the continued relevance and validity of the CRP and of the planned impact pathways;
2. Assess progress towards achievements in the major research areas of the CRP since its date of approval; and

3. Assess the adequacy of the systems in place for good organizational performance (staffing, governance, partnerships, management, planning, monitoring and evaluation, and accountability).

There are a large number of stakeholders who may have an interest in the results of this evaluation (see Table 1.1). Some will be direct users. These may include the CRP-DS managers; the Lead Center Board of Trustees (BoT), senior management and researchers; the management and researchers of the CGIAR partners; the CGIAR FC, CO, ISPC and IEA; the main CRP-DS donors (including potential future donors); and the main non-CGIAR partners – universities, research institutions, National Agricultural Research Systems (NARS), and participating Non-Governmental Organizations (NGOs). Other stakeholders may not directly use the results, but if the evaluation produces useful recommendations that are adopted by the CRP-DS, they may well be affected by the evaluation.

**Table 1.1 CCEE Stakeholders**

Stakeholder	Role in the CCEE	Interest in the CCEE
<b>Internal</b>		
CRP-DS Director and PMU	Commissioned CCEE & manage CRP-DS	<ul style="list-style-type: none"> <li>• Accountability for performance</li> <li>• Learning for improvement of the CRP</li> <li>• Increasing the likelihood of future financial support</li> </ul>
CRP-DS RMC	Provided inputs and advice on planning field visits	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> <li>• Role in responding to CCEE</li> </ul>
CRP-DS ISC	Selected Oversight Committee to act on its behalf	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> <li>• Role in responding to CCEE</li> </ul>
Lead Center management and Board (ICARDA)	Informants Consider recommendations emerging from CCEE	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> <li>• Role in responding to CCEE</li> </ul>
CGIAR partners' management and board (ICRISAT, ILRI, IWMI, CIAT, CIP, ICRAF, Bioversity)	Informants Participate in CCEE Oversight Committee	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> </ul>
CRP-DS researchers	Informants (selected)	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> </ul>
CGIAR FC	Primary client but no direct participation	<ul style="list-style-type: none"> <li>• Accountability for its role</li> <li>• Prioritization of future CRPs</li> <li>• Learning how CRPs can be made more effective</li> </ul>



Stakeholder	Role in the CCEE	Interest in the CCEE
CGIAR CO	Primary client but no direct participation	<ul style="list-style-type: none"> <li>• Accountability for its role</li> <li>• Prioritization of future CRPs</li> <li>• Learning how CRPs can be made more effective</li> </ul>
ISPC	Primary client but no direct participation	<ul style="list-style-type: none"> <li>• Accountability for its role</li> <li>• Prioritization of future CRPs</li> <li>• Learning how CRPs can be made more effective</li> </ul>
CRP-DS Task Force	Informants	<ul style="list-style-type: none"> <li>• Learning for improvement of CRP</li> </ul>
External		
Donors	Informants (selected)	<ul style="list-style-type: none"> <li>• Decision making for resource allocation</li> <li>• Learning for improved donor performance within the CGIAR</li> </ul>
Research partners (e.g. NARS, universities)	Informants (selected)	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> </ul>
Development partners (e.g. NGOs, CBOs, government ministries and departments, policy makers)	Informants (selected)	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• Accountability for contribution</li> <li>• To increase CRP development impact</li> </ul>
Local community members (e.g. farmers, herders, businesses)	Informants (selected)	<ul style="list-style-type: none"> <li>• To be given a voice</li> <li>• To make CRP research more relevant</li> </ul>
CGIAR IEA	Quality control and validation	<ul style="list-style-type: none"> <li>• Ensuring accountability of the CRPs</li> <li>• Learning from individual CRP</li> <li>• Synthesizing learning across CRPs</li> </ul>

*Note: Format and content modified from the Terms of Reference.*

## 1.2 Structure of the report

The purpose of this Inception Report is to describe the approach, methodology, key evaluation questions, and work plan for the CCEE. It is organized as follows:

Chapter 1 offers a brief introduction to the CCEE.

Chapter 2 describes the context and background for the evaluation. It provides an overview of the CGIAR context; challenges and defining features of dryland agricultural systems; a description of the background, organizational structure, evolution, and challenges of the CRP-DS itself; and an overview of the CRP-DS funding, budget and portfolio of research activities.

Chapter 3 describes the scope and boundaries of the CCEE: what it proposes to cover, and what it will not cover, and why.

In Chapter 4, the evaluation criteria and questions are explained in some detail and issues that have emerged during the Inception Phase are identified.

Chapter 5 presents the approach and methodologies used in the evaluation of the CRP-DS. It includes the overall approach, the specific tools and methodologies, the limitations of the evaluation, and a statement on quality assurance provided by the IEA.

Chapter 6 describes the organization and work plan. It presents an overview of the team membership and responsibilities, the involvement of stakeholders, the time line, and the deliverables and dissemination plan.

Finally, there are seven Annexes. These provide more details, as follows: an Evaluation Matrix (Annex 1); a list of documents consulted for preparing the Inception Report (Annex 2); a detailed work plan including a schedule of planned visits to partners and field sites (Annex 3); a stakeholder institutions matrix (Annex 4); a list of people interviewed or consulted during the Inception phase (Annex 5); and the major data collection instruments the team plans to use (Annex 6). Annex 7 provides summary bio-data on the CCEE team members.

## 2. Background

### 2.1 CGIAR institutional context

Established in 1971 with four international agricultural research centers, the CGIAR now has 15 Centers that are members of the CGIAR Consortium. As the 20<sup>th</sup> century was coming to a close and during the first decade of the 21<sup>st</sup> century, several studies were carried out to examine how to improve the effectiveness of the CGIAR. In that first decade of the 21<sup>st</sup> century, several “Challenge Programs” were initiated. These were intended to encourage stronger partnerships among CGIAR Centers and between Centers and other institutions to address globally significant challenges; for example the Challenge Program on Water and Food (CPWF) focused on increasing the productivity of agricultural water in the context of river basins. In part building on the lessons from these challenge programs, in 2009 the CGIAR adopted a new business model and began establishing new bodies and processes that together are referred to as the “reformed CGIAR”. This process and the new model are described in detail in CGIAR (2012).

The main building blocks of the new structural arrangements are as follows:

- Creation of a FC to harmonize donor/funder input and response, with its own office based at the World Bank in Washington DC, and a “Funders Forum” to which the FC reports;
- Legal establishment of the CGIAR Consortium as an international organization. This entity consists of a Consortium Board, a CO (located in Montpellier, France), and continuation of the 15 CGIAR research Centers, which are now Consortium members;
- Transformation of the previous Independent Science Council into the ISPC, located at the Food and Agriculture Organization of the United Nations (FAO) in Rome, Italy; and
- The establishment of the IEA also hosted by FAO.

The CGIAR recognizes that the challenges facing global food security and poverty are complex. No single research center has the full range and depth of expertise required to address these challenges. Therefore, nearly all CGIAR research is now carried out through 15 CRPs. These are listed on the CGIAR website<sup>1</sup>. Each CRP is led by a single CGIAR “lead center” with other CGIAR Centers and institutions outside the CGIAR participating as partner institutions. The Lead Center and its Board retain fiducial responsibility for the management of the CRP. CRPs are designed to contribute to one or more of the System Level Outcomes (SLOs) as identified in the current Strategy and Results Framework (SRF; CGIAR 2011).

All of the CRPs are approximately on the same time schedule. Proposals were prepared and submitted for review by the various CGIAR entities: ISPC, CO, and FC. In many cases one or more of these entities requested revisions before the proposal could be approved, and some were approved with conditions. The first CRP approval is dated November 2010 (CRP 3.3 for rice); the last one to be approved was CRP 1.2 on the Humid Tropics in February 2013. Therefore, CRPs vary in terms of their stage of development. The current CRPs are scheduled to be completed at the end of 2016, at which time they are scheduled to be replaced by a new set. During the period this CCEE is being implemented, a decision is expected on the new CRP

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<sup>1</sup> <http://www.cgiar.org/our-research/cgiar-research-programs/> (accessed 22 April 2015).

landscape (May 2015). There is currently no certainty with regard to the future of the current set of CRPs.

A final point that is relevant is that the funding levels of the CGIAR have been somewhat unstable in the last two years. After growing rapidly from approximately \$696 million per year in 2010 to about \$1 billion total funding in 2013, there was a decline of about \$95 million in 2014<sup>2</sup>. This largely affected the most flexible CGIAR funding, the so-called “Windows 1 and 2” (W1&2) funds. In early 2015, after all the CRPs had begun implementing their approved Plans of Work and Budget (POWBs), a further 19% reduction in W1&2 funding was announced. Therefore, CRPs have been forced to make substantial reductions in their W1&2 budgets, first in late 2014 (the amount varied among CRPs); and then in early 2015 an additional 19% reduction was mandated across the board. This financial uncertainty has had serious impacts on CGIAR Centers and the CRPs.

## 2.2 Dryland agricultural systems: Context and challenges

The defining characteristic of drylands is their low level of annual precipitation. Precisely defining “drylands” is not easy, but the United Nations (UN) Environment Management Group (2011) uses a broad definition: land areas with an aridity index of less than 0.65. The aridity index is based on the ratio between average annual precipitation and total annual potential evapotranspiration. Compounding the low precipitation is the unreliability and uncertainty of rainfall: much of the annual precipitation occurs within a short period during the year, but the amounts and timing vary drastically from year to year. Drylands are usually further subdivided into areas that are hyper-deserts, arid, semi-arid, and dry sub-humid, based on the aridity index. Using this definition, the UN estimates that 40% of the world’s land mass is drylands. Between 25-30% of the world’s population, some two billion people live in drylands<sup>3</sup>. Over 40% of Africans and Asians live in dryland areas. Drylands are both urban and rural: about a billion people rely directly on dryland ecosystem services, while some of the world’s largest cities, including Cairo, Mexico City, and New Delhi, are located in the drylands. Ninety percent of the residents of dryland areas are in developing countries. About two thirds of dryland systems consist of rangeland; much of the remainder consists of small farms.

The people living in dryland areas face a number of serious challenges. Unsustainable land use and livestock and water management practices in the context of climate change impacts and growing population are leading to degradation of natural resources (land, water and biodiversity), threatening the well-being of dryland residents. Dryland degradation costs developing countries an estimated 4-8% of their Gross Domestic Product annually (UN Environment Management Group 2011). Rural dryland populations are characterized by high rates of poverty, malnutrition and unemployment, which are intimately linked through feedback loops to the state of natural resources. Some of the politically most unstable areas of the world with high levels of conflict and alienation are located in drylands, especially in West Asia and Africa; indeed some studies have investigated linkages between drought and resource

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<sup>2</sup> See the Fund Council Newsletter for December 2014 at: <https://library.cgiar.org/bitstream/handle/10947/3426/CGIAR%20Fund%20Exec%20Sec%20Letter%20and%20Update%20December%202014.pdf?sequence=1> (accessed 22 April 2015). Other figures are drawn from CGIAR Annual Reports.

<sup>3</sup> The CRP-DS proposal dated 2013 uses slightly higher figures: 2.5 billion people, or a third of the human population live in drylands, of whom about 16% live in chronic poverty.

degradation in dryland areas and political unrest (e.g. Kelley et al. 2015 for Syria; Sunga 2011 for Darfur).

Despite these challenges, the UN Environment Management Group (2011) argues that drylands potentially offer their residents important opportunities which can generate regional and global benefits. Their biodiversity is an asset that can be exploited more effectively, and trade in local products and services from dryland agriculture including pastoralism, ecotourism and renewable energy (solar and wind) can help stimulate regional green development. That report outlines a number of important investment opportunities that include agriculture and ecosystem services as well as other areas.

The CRP Dryland Systems focuses on dryland farmers, including pastoralists, and seeks to identify ways to enhance the sustainability, productivity, and resilience of dryland agriculture in order to reduce poverty, achieve food security and better nutrition, and conserve the natural resource base while also promoting economic growth and diversification where feasible. Dryland farmers and pastoralists operate in complex agro-ecological and socio-economic contexts. Single-dimensional interventions by themselves are unlikely to lead to sustained improvements in people's lives and indeed may have unintended consequences. Finding ways to enable rural dryland people to manage risk and improve their lives is a daunting challenge. CRP-DS is designed as an inter-disciplinary multi-partner research for development program that seeks to identify combinations of technological, institutional, policy and managerial interventions that will sustainably enhance the resilience and productivity of dryland agricultural livelihood systems.

## 2.3 Dryland Agricultural Systems CGIAR Research Program Background

### 2.3.1 CRP-DS origins and theories of change

The CRP-DS was launched in May 2013, and is led by ICARDA. Other participating CGIAR Centers include Bioversity, CIAT, CIP, ICRISAT, ILRI, IWMI and ICRAF<sup>4</sup>. The launch in May 2013 followed an inception phase which commenced in late 2011. The overarching aim of CRP-DS is improving livelihoods in marginal, low-productivity dryland areas, and dryland areas that have the potential to improve productivity.<sup>5</sup>

The ISPC recommended approval in February 2013 on the conditions that research focuses specifically on dryland systems and there would be further prioritization of activities, a greater focus on the theory of change, better linking of outputs and outcomes and defining IDOs, improved partnership and gender capacity development strategies, improved interaction between commodity CRPs and CRP-DS, and enhanced biodiversity and nutrition activities. A proposal for extension to the end of 2016 was submitted in April 2014.

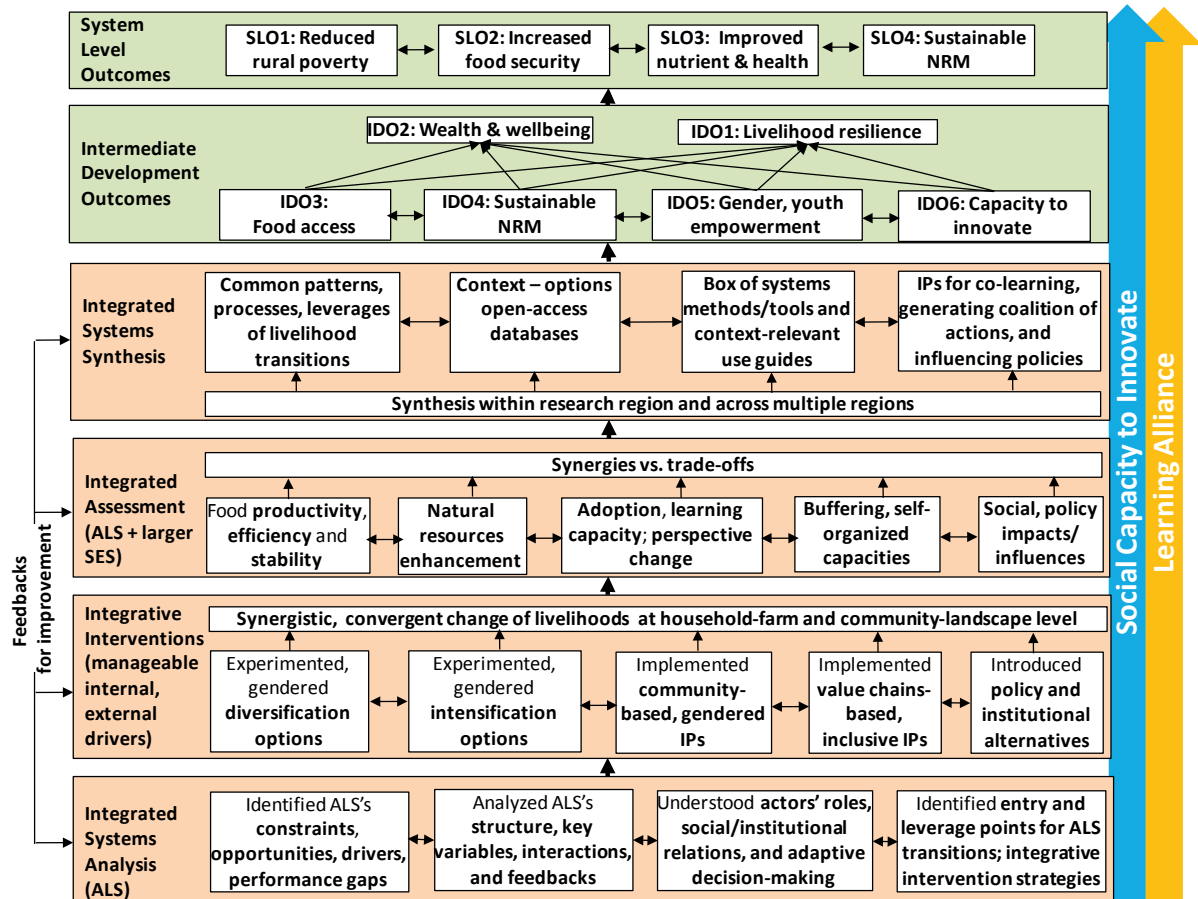
The ISPC has consistently questioned the adequacy of the CRP-DS “theory of social change” and linkages to impact pathways, for example in its 28 February 2013 commentary on the revised proposal. In its commentary on the Extension Proposal dated 27 June 2014, the ISPC again noted that CRP-DS “needs a plausible theory of change”. Currently, each of the five

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<sup>4</sup> World Fish is listed as a proponent in the 2013 revised proposal, but has apparently dropped out.

<sup>5</sup> The goal is to improve the lives and livelihoods of 87 million people and mitigate land degradation in 1.1 million km<sup>2</sup> in six years: 20 million people and 600,000 km<sup>2</sup> in sub-Saharan Africa; 65 million people and 465,000 km<sup>2</sup> in South Asia; 1.1 million people and 18,600 km<sup>2</sup> in North Africa and West Asia; and 0.5 million people and 5000 km<sup>2</sup> in Central Asia and the Caucasus

regional Flagships have their own distinctive impact pathway diagrams, though these are being reviewed. An “Agricultural Livelihoods Systems Expert” has recently joined the PMU and has developed a revised proposed impact pathway which was presented and discussed at the April 2015 S&IM in Hyderabad, India. This is reproduced here as Figure 2.1. The underlying Theory of Change (ToC) is said to be agent-based, starting with ALS and identifying “integrative intervention Strategies” to improve production and livelihoods. The CCEE will assess the evolving and currently proposed theory of change and impact pathways in some detail.



Notes: ALS = agricultural livelihood systems, IP = innovation platforms, SES = socio-ecological systems. Boxes in sandy orange shows activities and outputs of interrelated phases of integrated systems research. Boxes in green show development outcomes driven from integrated systems research-in-development.

Source: Draft Note on “Generic Impact Pathway through Integrated Systems Research in-development Approach” by Q B Le, later presented at April 2014 S&IM in Hyderabad, India. This remains a draft still under discussion.

**Figure 2.1 Proposed Generic Impact Pathway of Dryland Systems**

### 2.3.2 CRP-DS structure and evolution

The original proposal for the CRP was submitted 10 Sept 2010, followed by a revised proposal resubmitted on 28 February 2011. A \$10 million inception phase was then conditionally approved by the CO and FC by 6 April 2011 to characterize five target regions and develop impact pathways using hypothesis-driven research.

A list of “must haves” was the subject of regional workshops in Dubai and Nairobi 11 May and 27 June 2011, respectively. The “must haves” are listed in the adjoining Box 2.1, taken from the inception phase report.

The CCEE team will assess to what degree these have been addressed. Unconditional approval of the inception phase occurred in November 2011, and was followed by the holding of a Framework Development Workshop and on 30 Jan 2012 an Interim Steering Committee in Dubai involving participating centers.

Following inception, an official launch of the CRP-DS occurred in May 2013, in Jordan. An extension proposal was submitted 25 April 2014, with responses from the CO and ISPC being received 14 July. The somewhat negative review of the extension proposal, and program as a whole, resulted in a special “Task Force” being established, which first met in March 2015 as the CCEE was just getting underway<sup>6</sup>.

**Box 2.1. CGIAR Research Program on Dryland Systems: “must haves”**

- Characterization of dryland systems
- Clear hypotheses as an organizing principle to prioritize the research and results agenda
- Provide criteria for choice of target areas and action sites in both the biophysical and social sciences
- Prioritize activities to be carried out working from desired impacts to research activities
- Provide detail on the underpinning science and agronomic, genetic, and farming system approaches to be evaluated once the first phase has progressed
- Provide a comprehensive theory of how social change will result from the livelihood, gender, and innovations systems approaches in the current proposal
- Discuss current research priorities and how they affect new initiatives
- Identify clearly the research interventions proposed as a result of the diagnosis of the problems and constraints
- Describe the framework for selecting external and center partners, their respective research activities, and how these activities collectively contribute to an integrated agro-ecosystem research agenda
- Differentiate the roles of the crop/commodity CRPs and this systems CRP
- Integrate available lessons learned from the Sub-Saharan Africa Challenge Program of the CGIAR
- Develop a logical framework and articulate impact pathways to explicitly link a cluster of outputs to outcomes and impacts and to system-level outcomes of the CGIAR Strategy and Research Framework
- Include a performance management framework
- Build climate variability resilience and sustainable dryland systems through an integrated program combining indigenous knowledge with improved technologies, information dissemination, and engagement with stakeholders
- Redefine management structure to ensure that the Steering Committee (strategic oversight) and the Research Management Committee (manage research) are not both chaired by the DG of the Lead Center, to avoid potential conflict of interest
- Broaden the focus of the proposal to include Latin America and South Asia (cereal systems)

Source: CRP-DS Inception Report.

There is a lack of clarity about the timing of the first and extension phases of the CRP-DS, given the inception phase and then first phase based on a Performance Implementation Agreement (PIA) from Jan 2013 until Dec 2015. This has been compounded by the changing of CRP directors. The CCEE will review these aspects in the governance and management

<sup>6</sup> Initially this was to be an “Independent Task Force” recruited through a competitive process. However, with the severe budget cuts, a less ambitious Task Force was formed integrating a group led by Leeds University with members from the CRP-DS management team. Therefore, it is referred to here as simply the “Task Force”.

component of the evaluation, and programmatic performance across all evaluation domains. An audit was also undertaken by the CGIAR Internal Audit Unit (IAU) in late 2014 (CO 2015), which made a number of recommendations. The CCEE will review the responses by CRP-DS to these recommendations.

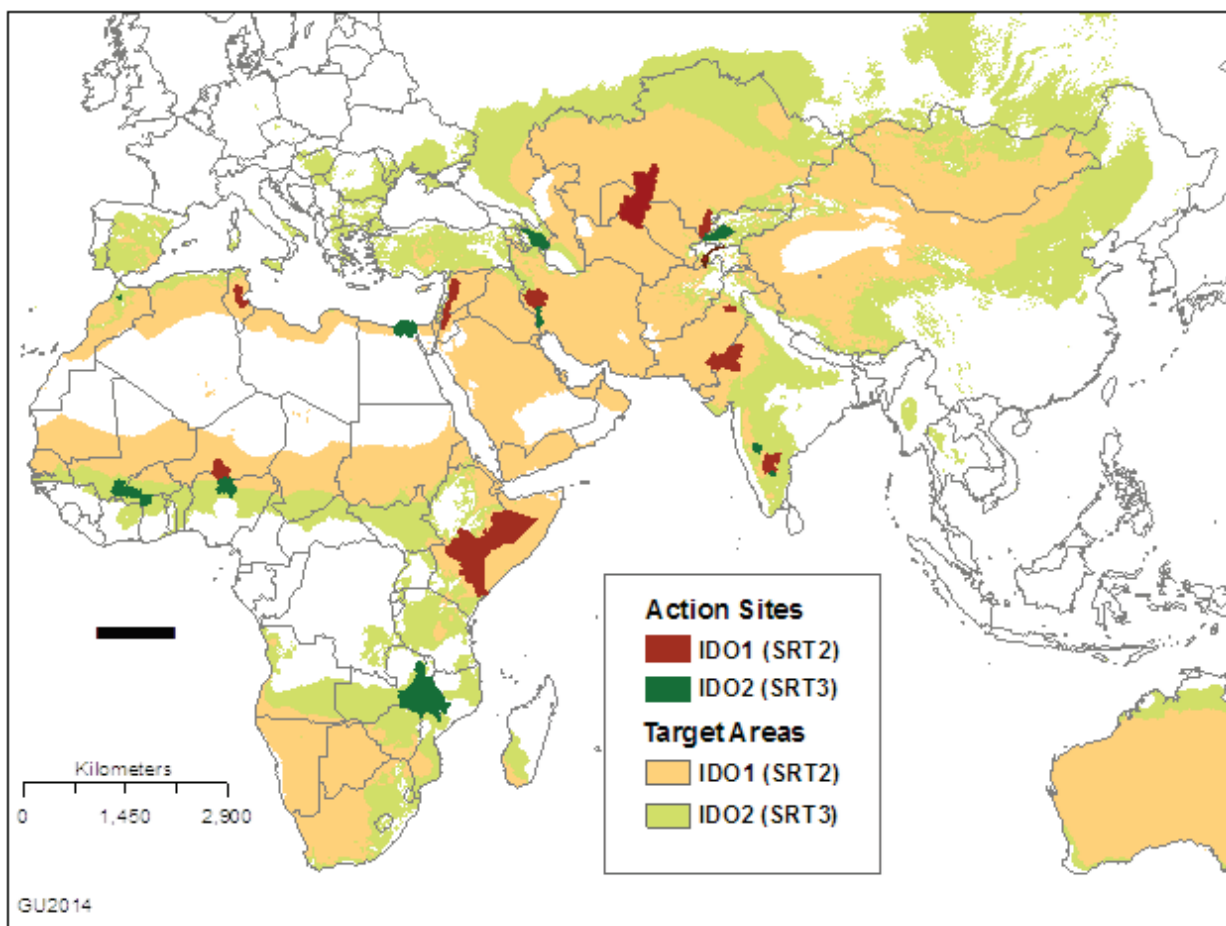
The CRP-DS was originally conceived around four Strategic Research Themes (SRTs), sometimes referred to as Strategic Initiatives. The first, SRT 1, involved strengthening innovation systems, developing stakeholder innovation capacity, and linking knowledge to policy action. The theme was focused on demand-driven innovation, based on action-research approaches involving iterative processes of planning, conducted collaboratively between researchers and other stakeholders. It was envisioned that the theme would produce systematic reviews and the development of analytical frameworks to guide empirical work and facilitate comparative analyses.

The second theme (SRT 2) aimed to reduce vulnerability and manage risk in resilient dryland agro-ecosystems. Objectives such as yield stability have priority over increasing productivity in these systems, and developing tools and processes to manage risk and vulnerability were the key research targets. Improving productivity was the major emphasis of Strategic Research Theme 3 (SRT 3): sustainable intensification for more productive, profitable, and diversified dryland agriculture with well-established linkages to markets. The final theme (SRT 4), measuring impact and cross-regional synthesis, had the objective of mapping and characterizing dryland agricultural systems, assessing *ex ante* impacts of various agricultural innovations, and identifying priority research areas in terms of the severity of poverty, severity of degradation and depletion of natural resources.

During the course of implementation, SRTs 1 and 4 activities appear to have been incorporated into the second and third themes in the target areas and action sites, based on agro-ecological zones. These zones have been used to characterize the five regional Flagships adopted by CRP-DS. These Flagships are FP 1: West African Sahel and Dry Savannas; FP 2: North Africa and West Asia; FP 3: East and Southern Africa; FP 4: Central Asia; and FP 5: South Asia. SRT 2 sites are marked in red in Figure (2.2) and reflect areas of high aridity and vulnerability, whereas the green areas indicate SRT 3 sites deemed suitable for intensification.

Key achievements as of the end of 2014 noted for the West African Sahel and Dry Savannas Flagship (FP 1) include the establishment of innovation platforms and conducting trials of heat tolerant wheat varieties with an observed yield increase from 1-2 to 5-6 tons/hectare. Harvesting technologies, leafy vegetables and high value trees were tested in 88 villages. A total of 288 successful tests were conducted and 31 Farmer Field Schools (FFS) undertaken. The flagship is dominated by agro-pastoral and rainfed production systems. Packages of crop rotations, water productivity interventions, and market connections are the subjects of on-going research, along with reviewing past dryland systems work and drawing lessons from successes. Evaluating risk management strategies, assessing value-adding for post-harvest strategies, and analyzing resource use and associated trade-offs to optimize community-level decision making are also on-going activities. This Flagship is the largest by planned expenditure in 2015, followed by East and Southern Africa.





Source: CRP-DS Proposal in 2011

**Figure 2.2 CRP-DS Action Sites and Target Areas**

The North Africa and West Asia Flagship (FP 2) is largely comprised of rainfed, irrigated and agro-pastoral systems. Conservation agriculture development was nominated in the 2014 Annual Report as a key success in parts of Tunisia, Algeria, Iraq and Syria. Yield gains, fuel savings, reduced labor requirements and less herbicide input were major benefits identified across an adoption area of 40,000 ha by 5,000 farmers. On-going research to improve water productivity in the Nile Delta using bed-planting and introducing integrated technical and policy innovations to increase resilience for rangeland systems are the focus of planned 2015 activities. Similarly, research is on-going at the Meknes-Sais action site in Morocco, where research focuses on sustainable intensification of wheat-based system, fruit trees-based system and vegetables-based system; and the Béni Khédache-Sidi Bouzid site in Tunisia, where reducing vulnerability and increasing farming system resilience is a key target.

Highlight achievements for FP 3: East and Southern Africa noted in the 2014 Annual Report include building value chains, introducing sustainable management of trees, the development of index-based insurance involving livestock, and the strengthening of partnerships, mainly in pastoral systems. On-going activities in 2015 include the examination of interventions to improve dietary diversity and quality and applying systems approaches for sustainable land and water use.

The Central Asian flagship (FP 4) is the smallest by value of planned expenditure in 2015. Improving coordination and cooperation among communities and the adoption of mohair and

felt production by women's groups were highlighted as key achievements of the program. The 2014 annual report indicates 200 improved varieties of winter wheat were evaluated in on-farm trials for tolerance to salinity and frost. A variety called "Davlatli" was released to the State Variety Testing Commission in Turkmenistan. Piloting and out-scaling of integrated crops, trees and livestock systems; strengthening innovation platforms and piloting the improvement of quality of local wool and mohair products; and improving resilience in salt-affected croplands are key planned activities for this Flagship.

Adoption of practices and technologies based on legacy activities by partner organizations – such as expansion to 5.1 million ha in Karnataka, India, with integrated technology packages and up-scaling to policy within State Government institutions were featured outcomes of the South Asia Flagship (FP 5) in the latest annual report. Around 750 on-farm trials of improved cultivars, nutrition strategies and soil and water conservation were implemented and evaluated, showing potential to increase crop yield from 10% to >150%. New villages have been identified for out-scaling conservation agriculture and introducing cactus for the upcoming year of implementation. Efforts in Rajasthan focus on the fostering of Innovation Platforms for engaging partners, integration of medicinal and aromatic plants and cash crops, integrated land resources development using village clusters and index catchments, and sustainable intensification of crop and livestock production. The Chakwal Action Site in Pakistan is within the largest rainfed region of that country; quite a number of activities are underway focused on both resilience and intensification, largely funded by Windows 3 and bilateral projects.

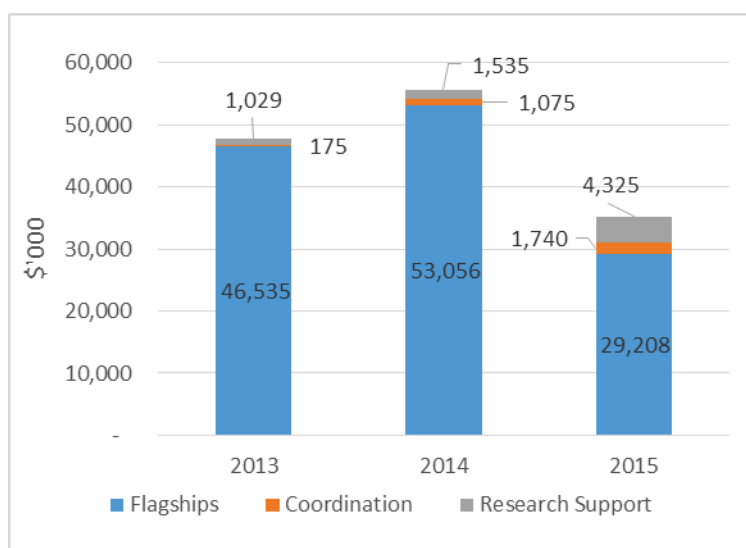
### **2.3.3 Funding and expenditures**

The revised proposal dated 28 January 2013 had an allocation of \$37.4 million in the first year (2013), increasing to \$44.5 million by 2015, or a total of \$122.7 million over three years. Percentage expenditure on personnel costs, travel, and operating expenses were noted in the proposal as being lower than that for the previous five-year average of the CGIAR System, and the budget placed a high priority on partnerships at 20% of the total implementation phase budget. Resources were also targeted for mainstreaming gender, youth, nutrition, and biodiversity as cross-cutting themes.

Original estimates were updated in annual planned expenditures in Plans of Work and Budget (POWBs). These planned and actual estimates are presented below in Figure 2.3 and Table 2.1. They show that planned expenditure increased from 2013 to 2014, and has decreased dramatically with funding cuts in 2015. Actual expenditures were less in 2013 and 2014 than those proposed. For example, in 2013 actual expenditure was \$35.4 million compared to the planned expenditure of \$47.7 million. Actual expenditure was lowest, as a percentage of planned, in the FP 2: North Africa and West Asia and FP 4: Central Asia Flagships. Much of the spending variation relates to the fact that the program started only in May 2013, the W1&2 funds were received in the second part of the year, planned bilateral projects having changed implementation schedules, and reductions in W1&2 funding. Compared to the original planned expenditure of \$122.7 million, the three year expenditure<sup>7</sup> will be around \$121.9 million, or 99% of planned. Original W1&2 planned expenditures have decreased, while those associated with W3 and bilateral sources have increased.

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<sup>7</sup> Based on 2013 and 2014 actual, along with 2015 planned.



Source: CRP-DS PMU.

**Figure 2.3 Planned Total Expenditure 2013, 2014, 2015**

**Table 2.1 Planned and Actual Expenditure for 2013, 2014 and 2015 (\$ 000)**

Flagship	2013			2014			2015
	Planned	Actual	% of planned	Planned	Actual	% of planned	Planned
FP 1: West Africa & Dry Savannas	5,930.0	3,948.0	67%	11,715.98	9,414.30	80%	8,961.0
FP 2: North Africa & West Asia	17,602.0	11,334.0	64%	13,538.54	11,176.27	83%	5,829.4
FP 3: East & Southern Africa	10,585.0	10,158.0	96%	12,994.83	10,999.32	85%	7,635.9
FP 4: Central Asia	3,176.0	2,067.0	65%	3,955.89	4,893.17	124%	3,140.7
FP 5: South Asia	9,242.0	6,784.0	73%	10,851.12	12,112.03	112%	3,641.3
Regional Coordination (W1&2)	175.0	175.0	100%	1,075.00	1,075.00	100%	1,500.0
Center Coordination(W1&2)							240.0
Director's Office (W1&2 only)	929.0	929.0	100%	1,225.00	1,225.00	100%	974.3
Overarching Program: (W1&2)	100.0	30.0	30%	310.00	310.00	100%	2,150.5
TF (W1&2 only)							1,200.0
<b>Total</b>	<b>47,739.0</b>	<b>35,425.0</b>	<b>74%</b>	<b>55,666.36</b>	<b>51,205.09</b>	<b>92%</b>	<b>35,273.1</b>

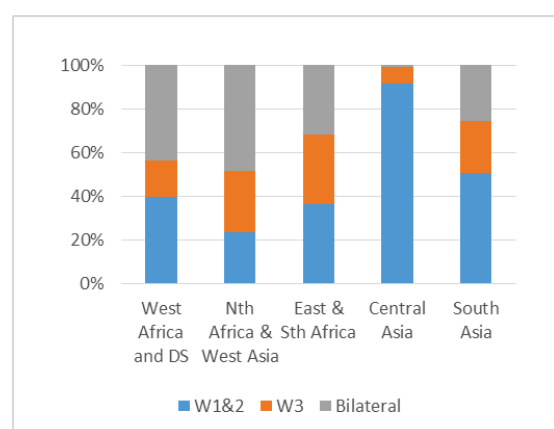
Source: CRP-DS PMU.

The budget includes funding from Window 3 and bilateral projects mapped to CRP-DS and from W1&2 of the CGIAR Fund (Table 2.2). Major bilateral donors include Australia (ACIAR), International Fund for Agricultural Development (IFAD), United States Agency for International Development (USAID), Arab Fund for Economic and Social Development (AFESD), European Commission, United States Department of Agriculture (USDA) and the Netherlands (DGIS). In the original proposal it was estimated that \$70.3 million of the total expenditure \$122.7 million (57%) would be sourced from W1&2. W1&2 expenditure was planned to be \$20.1 million per year. Actual expenditure was \$13.6 million in 2013 as a result of the late start of the program (May 2013); and \$20.3 million in 2014, based on the reduced allocation of 15.4 million plus the carry forward of unspent funds from 2013.

**Table 2.2 Actual Expenditure for 2013 and 2014 by Window (\$ 000)**

Flagship	2013			2014		
	W1&2	W3	Bilateral	W1&2	W3	Bilateral
FP 1: West African & DS	2,063.9	318.9	1,565.3	4,565.8	1,931.2	5,013.4
FP 2: Nth Africa & West Asia	5,497.2	2,626.6	3,210.2	2,341.3	2,786.7	4,827.2
FP 3: East & Southern Africa	2,196.2	1,704.1	3,217.1	4,217.5	3,659.8	3,701.5
FP 4: Central Asia	1,033.5	413.4	620.1	3,759.9	300.0	40.9
FP 5: South Asia	2,852.2	568.7	3,363.1	5,403.0	2,507.5	2,750.5
<b>Total</b>	<b>13,643.0</b>	<b>5,631.5</b>	<b>11,975.8</b>	<b>20,287.4</b>	<b>11,185.2</b>	<b>16,333.5</b>

The proportion of flagship expenditure by Window varies (Figure 2.4). Central Asia and South Asia had the largest proportion of W1&2 sourced expenditure, as a proportion of total expenditure in 2014. In the case of Central Asia this may reflect a narrow base of potential donors, when compared to Africa. In South Asia, project mapping may differ from other flagships in the CRP-DS program.



Source: CRD-DS PMU

**Figure 2.4 Proportion of Flagship Expenditure by Window, 2014**

Each participating Center submitted budget proposals with allocations for funding under W1&2 and restricted donor grants in the original proposal. It was expected that bilateral funding would remain a key source of financing, and the partners would continue to vigorously pursue funding opportunities within the overall objectives of CRP-DS. In 2014 ICARDA, as the Lead Center, accounted for 38% of total expenditure, including CRP management. ILRI had the next largest share at 14%, followed by ICRISAT and ICRAF at 12% and 11% respectively. Non-CGIAR Partners accounted for 19% of expenditure (Table 2.3).

**Table 2.3 Total Expenditure by Center, 2014 (\$'000)**

Flagship	ICRAF	ICARDA	ILRI	ICRISAT	Other CGIAR	Partner	CRP Mgt	Total
FP 1: West African & DS	3,971.5	1,482.6	395.4	2,486.9	825.9	2,553.6	-	11,716.0
FP 2: North Africa & W Asia	-	10,153.1	-	-	-	3,385.4	-	13,538.5
FP 3: East & Southern Africa	2,068.6	333.6	5,937.3	1,047.1	1,315.9	2,292.3	-	12,994.8
FP 4: Central Asia	-	2,975.1	-	-	575.5	405.4	-	3,955.9
FP 5: South Asia	-	4,057.6	1,387.2	3,010.4	596.1	1,799.6	-	10,851.1
Management	215.0	430.0	215.0	215.0	-	-	1,535.0	2,610.0
<b>Total</b>	<b>6,255.1</b>	<b>19,432.1</b>	<b>7,934.9</b>	<b>6,759.4</b>	<b>3,313.4</b>	<b>10,436.4</b>	<b>1,535.0</b>	<b>55,666.4</b>
Percent	11%	35%	14%	12%	6%	19%	3%	100%

Note: ILRI, ICRAF, ICRISAT and ICARDA have an allocation of \$ 215 thousand per Flagship for coordination from W1&2. CRP Management includes Director's office (\$ 1,225 thousand) and Strategic Gender (\$ 310 thousand).

Source: CRP-DS PMU.

Across Centers, ICARDA was the lowest spender in 2013 relative to planned allocations - spending 63% of its budget in that period while ILRI and ICRAF were fastest, spending 104% and 100% of their respective budget shares. These spending rates changed significantly in 2014 (Table 2.4). As most of the CRP-DS budget consists of bilateral project funds, spending may be more or less than planned due to changes in originally mapped bilateral project funds.

#### **2.3.4 Governance and Management**

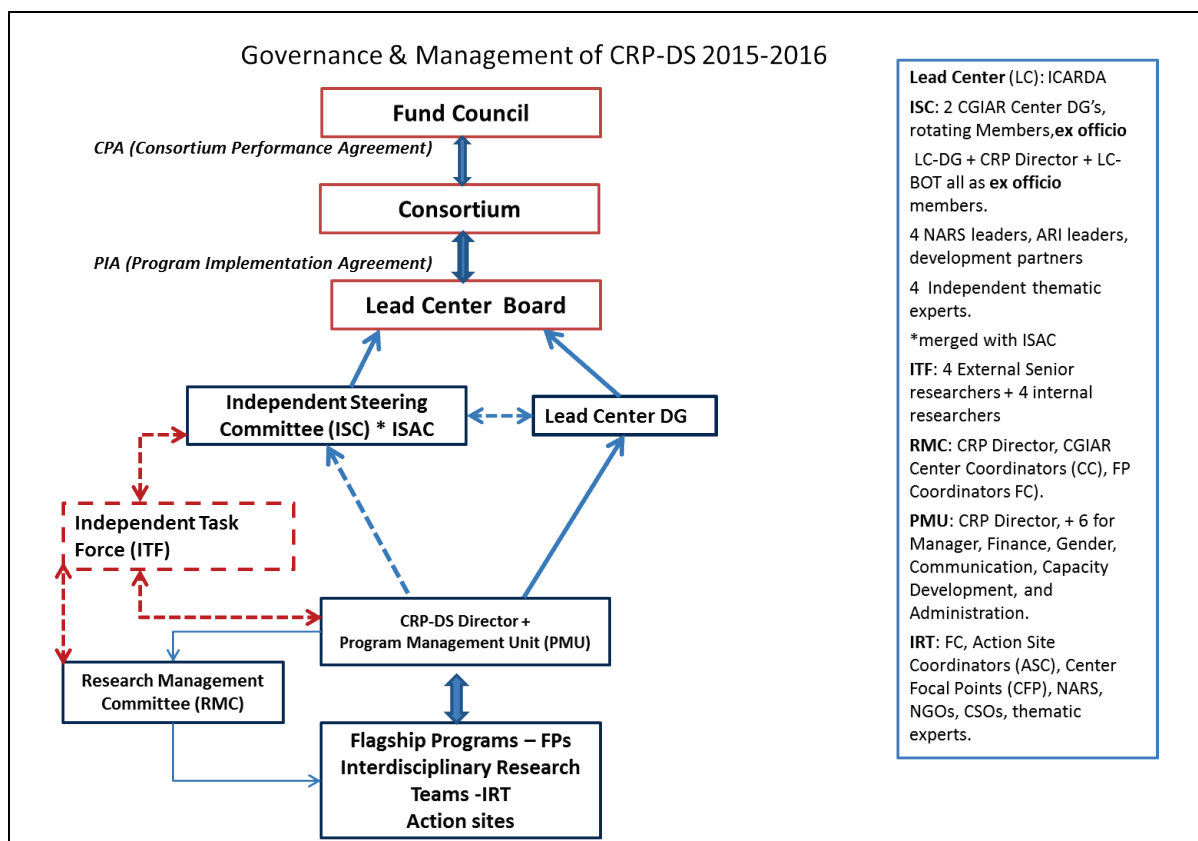
- Planning is undertaken by the Interdisciplinary Research Team (IRT) at the regional Flagship level. Each team is chaired by the Flagship Coordinator and comprises of Center Focal Points, Action Site Coordinators and local stakeholders (NARS, NGO, private sector). The Team prepares the POWB for the upcoming year and monitors implementation.

**Table 2.4 Planned and Actual Expenditure per Center for 2013, 2014 and 2015 (\$ 000)**

Flagship	2013			2014			2015
	Planned	Actual	% of planned	Planned	Actual	% of planned	Planned
ICRAF	2,323.0	2,323.0	100%	8,788.8	3,248.1	37%	6,167.6
ICARDA	26,535.0	16,655.0	63%	17,598.3	18,942.3	108%	12,033.0
ILRI	4,945.0	5,154.0	104%	7,582.4	6,205.4	82%	3,308.9
ICRISAT	8,850.0	7,329.0	83%	5,670.2	8,846.0	156%	2,988.1
Other CGIAR	2,853.0	2,830.0	99%	3,645.2	2,534.2	70%	941.8
CRP Management	1,029.0	1,029.0	100%	2,300.0	2,300.0	100%	974.3
Partners	-	-	-	9,771.5	5,420.2	55%	5,210.5
Overarching Program	-	-	-	310.0	310.0	100%	3,649.0
<b>Total</b>	<b>46,535.0</b>	<b>35,320.0</b>	<b>76%</b>	<b>55,666.4</b>	<b>47,806.1</b>	<b>86%</b>	<b>35,273.1</b>

Source: CRP PMU

- The RMC coordinates and evaluates POWBs and budget allocation on a non-objection basis, prior to review and endorsement by the ISC and BoT of the Lead Center. The RMC comprises members from the eight Partner Centers and five Flagship Coordinators and is chaired by the CRP-DS Director. It is supported by technical working groups, such as the Gender Working Group and the Data Management Working Group.
- The ISC was established in 2015 following CO guidance. It incorporated the former Steering Committee and the Independent Science Advisory Committee (2013-2014). Members include four individuals with technical expertise, four non-CGIAR partners, and two CGIAR partner centers. The CRP-DS Director, the ICARDA BoT member and the Lead Center DG are *ex-officio* members.
- The CO and ISPC advised CRP-DS to commission an Independent Task Force to identify mission critical areas of research, analyze the current POWB, develop and design a strategy and operating plan to position CRP-DS in the next round of CRPs, and prepare proposals for the Second Call of CRPs. This Task Force has recently been re-branded as simply the *Task Force* (TF), in part to reduce its cost. It now includes both external and internal members. Its role is quite different from that of the CCEE: it is providing scientific advice to position the CRP-DS to prepare a winning proposal for the up-coming Call for new CRP programs.



Source: R. Thomas

**Figure 2.5 CRP-DS Governance and Management Structures**

### 2.3.5 CRP-Dryland Agricultural Systems Portfolio

There are a total of 67 W3 and bilateral projects, of which ICARDA is leading 48. ICRISAT and ICRAF are leading seven and five, respectively. Flagship activities are attributed to Centers appointed by the IRTs POWB selection process. On this basis, ICRISAT leads 61 activities, followed by ICARDA and ILRI leading 25 each. CIAT and IWMI are not leading any activities, but have contributed three and one bilateral project, respectively. There are nearly twice as many activities specified for W1&2 funding, compared to projects using W3 and bilateral sources. This information is summarized in Table 2.5 and is based on preliminary estimates available during 2015 work planning at the time this Inception Report was being prepared (April). The Table will be updated in the final report as part of the portfolio analysis.

**Table 2.5 Number of Activities and Projects in Portfolio by Center, 2015**

Number of CRP-DS projects	CIAT	ICRISAT	ICARDA	ICRAF	ILRI	IWMI	Total
W3 and Bilateral projects	3	7	48	5	4	1	<b>67</b>
W1&2 activities	0	61	25	19	25	0	<b>130</b>
<b>Total</b>	<b>3</b>	<b>68</b>	<b>73</b>	<b>24</b>	<b>29</b>	<b>1</b>	<b>197</b>

Source: CRP-DS data. Note, activities are not listed for Central Asia (CA). Two action sites are used to estimate activity numbers for the interim report.

Flagships consist of activity clusters using W1&2 funds and W3 and bilateral projects mapped by each participating Center. As shown in Table 2.6, it is evident, for example, in the West African Sahel and Dry Savannas (WAS&DS) flagship there are 6.4 W3 and bilateral projects and 19 W1&2 activities. Some projects are mapped to a number of regions simultaneously, accounting for project fractions. The highest number of W1&2 activities are in South Asia, with 61, while the largest number of mapped W3 and bilateral projects are found in North Africa & West Asia (NA&WA). Average spending per project and activity in each region, and implications for the portfolio, will be investigated as part of the evaluation and outlined in the final report.

**Table 2.6 Number of Activities and Projects in Portfolio by Flagship**

Flagship	Number of Projects or Activities	
	W3 and Bilateral projects	W 1&2 activities
West African Sahel & Dry Savannas (WAS&DS)	6.4	19
North Africa & West Asia (NA&WA)	19.1	23
South Asia (SA)	10.0	61
East and Southern Africa (ESA)	17.3	25
Central Asia (CA)	14.3	2
<b>Total</b>	<b>67.0</b>	<b>130</b>

*Source: CRP-DS data. Note, activities are not listed for Central Asia (CA). Two action sites are used to estimate activity numbers for the interim report. Proportions of projects are allocated to each flagship, which differs from the CRP-DS learning platform, where each project is attributed.*

The value of the bilateral portfolio is dominated by several large projects. Projects with a committed value of over \$2 million are outlined in Table 2.7. It is evident that the “Enhancing Food and Water Security for Improved Rural Commercialization” project funded by the Netherlands through the Directorate-General for International Cooperation (DGIS) is the largest. It targets the transition of rural households from subsistence farming to sustainable rural development by increasing food and water security in semi-arid regions of Kenya, Ethiopia, Mali, Burkina Faso and Niger. The next largest is the support to agricultural research for development of strategic crops in Africa (SARD-SC) project funded by the African Development Bank. It focuses on productivity improvement in cassava, maize, rice and wheat.



**Table 2.7 W3 and Bilateral Projects Larger than USD 2 million (USD millions)**

<b>Project title</b>	<b>Window</b>	<b>Value (\$ million)</b>	<b>CRP-DS Share (%)</b>	<b>Lead Center</b>
Enhancing Food and Water Security for Improved Rural Commercialization - DGIS	W3	49.6	22	ICRAF
Support to agriculture Research for development of strategic crops in Africa (SARD-SC)	B	15.5	50	ICARDA
SmART Scaling	B	9.2	90	ICRAF
Development of Conservation Cropping Systems in the Dryland of Northern Iraq - Phase 3	W3	7.0	100	ICARDA
EU IFAD	W3	5.8	100	ICRAF
Index Based Insurance	B	5.0	100	ILRI
Enhanced small-holder wheat-legume cropping systems to improve food security under changing climate in the drylands of West Asia and North Africa	W3	4.5	20	ICARDA
Technical Consortium for Resilience in the HOA	B	4.4	100	ILRI
Middle East North Africa Water and Livelihoods Initiative (WLI)- Regional	W3	3.4	50	ICARDA
Watershed Rehabilitation and Irrigation Improvement: Demonstrating in Pakistan and disseminating the Best Technologies to Help Rural Farmers	B	3.3	50	ICARDA
ZimCLIFS	B	2.9	100	ILRI
Updated Collaboration Agreement for Strengthening Agricultural Research	W3	2.8	100	ICARDA
Africa RISING	W3	2.8	100	ICRISAT
Increasing Food Legume production by small farmers (INDIA_MOROCCO)	B	2.8	80	ICARDA
USAID Global Climate Change(USAID GCC)	W3	2.2	100	ICRISAT
Adapting Conservation Agriculture for Rapid Adoption by Small Holder Farmers in Northern Africa	W3	2.2	100	ICARDA
Increasing agricultural productivity and incomes through bridging yield gaps with science-led interventions in Karnataka (Bhuchetana)	B	2.0	100	ICRISAT

B = bilateral.

## 3. Scope of the Evaluation

### 3.1 Scope and boundaries of the evaluation

During 2014, the Independent Audit Unit (IAU) of the CGIAR carried out an internal audit of this CRP. The final report is dated 5 March 2015 (CO 2015). The Audit focused on issues related to the overall governance and management of the program and rated the overall management of the CRP-DS as “unsatisfactory”. The audit categories were assessed as follows:

- A. Governance, Management and Compliance **Unsatisfactory**
- B. Financial Management **Major Improvement needed**
- C. Partner and Subcontractor Management **Major Improvement needed**
- D. Monitoring and Evaluation **Unsatisfactory**
- E. Project Management **Unsatisfactory**

The Audit Report proposed (but did not formally recommend) that the planned CCEE review of this CRP should concentrate its attention on “the research and science progress with the M&E controls and processes as a major focus”.

The Audit Report generated considerable commentary from the Lead Center, CO and ISPC. While the Lead Center, i.e. ICARDA accepted the most important recommendations and stated that they would be implemented, there were others where the Lead Center and indeed the Auditors suggested that the root of the problem lay with the guidelines, or lack thereof, from the CO.

The Audit Report is a major anchor or starting point for the CCEE. The CCEE will not go back over the ground covered by the Audit but only examine key points where an update is needed considering that the PMU has been fully staffed since January 2015. However, the CCEE will examine in detail the responses and actions taken by the Lead Center and other partners to the recommendations made by the Audit, and will assess their adequacy and effectiveness. As part of this evaluation, the CCEE will generate conclusions and recommendations regarding the issues raised by the Lead Center in its responses to the Audit Report.

As suggested by the Audit Report, the CCEE will focus most of its attention on the research and capacity building work being done by the CRP-DS partners. The CCEE team will visit at least one Action Site in all five CRP-DS “Flagship Regions”. It will use surveys and other methodologies to obtain feedback from scientists and partners in the CRP-DS. Initially it will focus on the emerging issues discussed below in section 4.3, but will address others that emerge during the course of the evaluation. Because the CRP-DS has been implemented for a very short period, it may be premature to arrive at firm conclusions on the quality of science produced and on its outcomes and impacts, but the team will endeavor to assess both progress to date and potential future achievements both in terms of its science and its impacts.

The CCEE will also evaluate in some detail the M&E system which is currently under construction by the CRP-DS PMU. Finally, the CCEE is being implemented in a spirit of providing constructive feedback, suggestions and recommendations. The CCEE is not an “audit” but an opportunity to reflect on lessons learned and to provide advice for both the remaining period of this CRP to the end of 2016, and for any future CRP working on dryland systems.

The ToR notes that the CRP-DS has been implemented since May 2013. Therefore, the organizational performance, partnerships and research for the period since that date will be the main focus, though the CCEE will also assess pre-existing research activities that have been mapped into CRP-DS.

Finally, it must be noted that relative to the evaluations of most other CRPs, this evaluation is a “light” evaluation in the sense that its total level of effort (180 days by three team members) is considerably less than the total effort for recently completed IEA-led evaluations.

## 4. Evaluation Criteria and Questions

### 4.1 Criteria and overarching questions

This CCEE follows the guidelines provided by the IEA of the CGIAR (<http://iea.cgiar.org/publications>). As required by the ToR, this evaluation will use the standard IEA evaluation criteria which are as follows<sup>8</sup>:

- Relevance, which also includes coherence, comparative advantage and design of the program
- Quality of science
- Effectiveness
- Impact (or the likelihood of achieving impact), under which this evaluation has explicitly included gender and youth, capacity strengthening, communication, and partnerships
- Efficiency, under which this evaluation will address governance and management
- Sustainability, which the CCEE team has combined with impact.

After an initial review of the CRP-DS proposals and the Audit Report, the commentary from the ISPC, CO and FO, as well as the responses of the Lead Center to the Audit Report, this CCEE will consider one other overarching issue: the CGIAR context and its impact on the performance of the CRP. Including this issue also responds explicitly to a question included in Annex 1 of the ToR.<sup>9</sup>

These evaluation criteria can be expressed in terms of the following overarching or principle evaluation questions:

1. How coherent and relevant are the objectives and overall design of the CRP-DS?
2. What is the comparative advantage of CRP-DS vis-à-vis other dryland systems programs?

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<sup>8</sup> See Annex 2 of the CGIAR Standards for Independent External Evaluation, <http://iea.cgiar.org/sites/default/files/Standards.pdf> (accessed 22 April 2015).

<sup>9</sup> From the ToR: “To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency and successful program implementation?” In its review of the draft of this Inception Report, IEA expressed hesitation on making this “a major evaluation question”. However, the evidence the team has collected to date suggests it is a potentially important factor in understanding the performance of this CRP.

3. Is CRP-DS scientific research of a high quality and do the research outputs constitute international public goods (IPGs)?
4. Is the CRP likely to deliver its intended results? In other words, is it likely to produce the expected outputs and achieve its intended outcomes and impacts?
5. Are the cross-cutting activities on gender and youth, communication, capacity development and partnerships well-integrated into the program and are they effective?
6. Is the governance and management structure of the CRP efficient and effective?
7. What has been the response of CRP-DS management to feedback received from the CGIAR on its initial and extension proposals and to the Audit Report? To what extent do the guidelines, formats and commentary from the CO and FC support efficient and effective implementation of the CRP?

Table 4.1 maps the standard CGIAR evaluation criteria to the seven overarching questions.

**Table 4.1 Coverage of Evaluation Criteria by Key Evaluation Questions**

Evaluation Questions	Evaluation Criteria					
	Relevance	Effective-ness	Efficiency	Impact	Sustainability	Quality of science
1. How coherent and relevant are the objectives and overall design of the CRP-DS?						
2. What is the comparative advantage of CRP-DS vis-à-vis other dryland systems programs?						
3. Is CRP-DS scientific research of a high quality and do the research outputs constitute international public goods (IPGs)?						
4. Is the CRP likely to deliver its intended results? In other words, is it likely to produce the expected outputs and achieve its intended outcomes and impacts?						
5. Are the cross-cutting activities on gender and youth, communications, capacity development and partnerships well-integrated into the program and are they effective?						
6. Is the governance and management structure of the CRP efficient and effective?						
7. What has been the response of CRP-DS management to feedback received from the CGIAR on its initial and extension proposals and to the Audit Report?						

## 4.2 Specific evaluation questions and criteria

During the inception period, the CCEE team has identified around 70 questions that the team believes will enable it to fully address the seven overarching questions. These questions are contained in Annex 1, the Evaluation Matrix. They expand upon the “key questions” proposed in Annex 1 of the ToR. For each major criterion, a set of specific questions has been identified. In some cases, the criterion has two or more sub-criteria, as

follows. The criterion “relevance” has been broken down into “coherence” (the extent to which CRP-DS takes a “systems” approach); “comparative advantage” (whether the CRP-DS has mobilized the right set of scientists and partners and the extent to which it is uniquely qualified to address dryland systems issues); and “program design” (e.g. selection of research sites, prioritization of activities, linkages of activities to IDOs and SLOs). It is important to note that the 2015 work plan is shifting from the initial SRF structure to the recently proposed revised framework aligned to the UN Sustainable Development Goals<sup>10</sup>. The impact and sustainability criteria have been combined in the Evaluation Matrix, and in addition to questions addressing these criteria directly, the Matrix includes questions under the following sub-headings: “gender and youth”, “capacity strengthening”, and “partnerships”. The Efficiency criterion has been expanded to include “Efficiency, Governance and Management” because governance and management had emerged as issues in the Audit Report. Finally, as noted above, the team has added one more dimension or criterion: “CGIAR Context”, with four questions aimed at understanding the impacts of the implementation of the reform process on this CRP, if any.

The CCEE team believes the evaluation issues and questions contained in Annex 1 will enable it to carry out a thorough, objective and constructive evaluation leading to specific actionable recommendations for the future.

### 4.3 Emerging issues

The three members of the CCEE have participated in a meeting in Leeds, UK, with representatives of the TF and the PMU. Two members spent nine days in Amman collecting documents and interviewing both managers and scientists at ICARDA. They also had the opportunity of a one-day visit to a field site that had been an action site of the CRP, but was cut as a result of budget reductions at the end of 2014. This enabled them to get a good impression of the kinds of field research being undertaken under the CRP.

All three CCEE team members spent a week in Hyderabad, India (ICRISAT HQ), attending the RMC, S&IM and ISC meetings. They were able to carry out more interviews and interactions with both scientists and Centers management (ICRISAT is the second main partner after ICARDA) during this week. This has enabled the team to identify a number of emerging issues on which the team will gather further information. The CCEE is likely to identify and address other issues as the evaluation is being implemented; the following are issues that have emerged based on the work so far.

1. *Impact*: Does the CRP-DS have an adequate and effective theory of change underlying the impact pathways identified by the five Flagship Regions? Are the proposed impact pathways realistic and are they used in the design and implementation of the research program? Is there a reasonable likelihood of achieving positive outcomes and impacts? The team’s preliminary assessment suggests the CRP may not have had an adequate and explicit theory of change that is understood, shared and implemented by the scientists, but there is some recent progress on this point.
2. *Science quality*: Does the CRP-DS have an agreed, coherent and scientifically credible conceptual framework encompassing a complete understanding what “systems” research is supposed to be? Is the framework and research design based on traditions of

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<sup>10</sup> A revised CGIAR Strategy and Results Framework is under discussion at this time (CGIAR 2015).

systems and operational research as found in the scientific literature? Are the research activities being implemented in the Flagship Regions and Action Sites well integrated as *systems* research based on this conceptual framework? Will the CRP-DS have produced good and innovative scientific outputs by the end of 2016? The team's preliminary assessment is that a conceptual framework has only recently begun to be developed, and that quality of science is an issue needing investigation.

3. *Science quality and impact:* What are the criteria for mapping Window 3 and bilaterally funded projects into the CRP-DS? Are these criteria reasonable and are they being used by all the Partner centers? How do these projects contribute to the overall objectives of the CRP-DS? Are they integrated into a “systems” framework? The team's preliminary assessment, based largely on the field trip in Jordan, is that the bilateral projects may not be well-integrated into an overall systems framework and some of the research being conducted may not be international public goods.
4. *Governance and management:* How effective and efficient are the current PMU and the CRP governance structure (RMC, ISC), especially in view of the large reduction in W1&2 funding? Does the TF add value, especially in view of budget constraints? With the large reductions in W1&2 funding, the team will assess whether the program is over-investing in a heavy governance structure.
5. *Management effectiveness:* Has the CRP responded to the 2014 and early 2015 budget cuts in a way that optimizes the potential for achieving a set of good scientific outputs accompanied by feasible outcomes and impacts? For example, should the CRP have reduced the number of Flagship Regions or made other major cuts in activities to enable concentrating on best-bet options? Has the balance between funding research and funding management and coordination activities been affected by the response to the budget cuts? The team has not arrived at a preliminary assessment but has questions as to whether the response to the cuts has been as strategic as it could have been. However, see issue 7 below.
6. *Management effectiveness:* How effective have the CRP-DS responses been to the critical feedback received on the original and extension proposal and to the recommendations of the Audit Report? The team has no position so far, but its initial impression is that the CRP-DS management has responded fully to the recommendations.
7. *Partnerships and cross-cutting activities:* What has been the impact on partnerships, and on the cross-cutting activities related to gender and youth, capacity development, and communication, of the budget cuts got 2015? The team's preliminary assessment is that the budget cuts have had serious negative impacts on all the cross-cutting activities, and have damaged the relationships with at least some partners despite strong efforts to minimize the impacts on them.
8. *Communication:* Is there efficient cross-regional communication and information sharing on the lessons learned, or successful ‘case studies’ between flagships and partners? Is their quality reporting towards the donors, to maintain sufficient funding? Can the program enhance its communication effort for increased visibility? Can the program benefit from information technology (video conferences, webinars) to

strengthen capacity building, improve monitoring of performance and promote a learning culture in the program?

9. *CGIAR context:* Has the CGIAR placed unreasonable demands and pressure on the CRP-DS without also providing adequate support in terms of clear guidance and advice? To what extent can the performance of the CRP-DS be attributed to these contextual factors in contrast with internal management and leadership factors?

## 5. Evaluation Approach and Methods

### 5.1 Overall approach to the evaluation

The evaluation will be forward looking and constructive. It seeks to provide lessons learnt and recommendations for the future based on evidence. It is consistent with the strategic directions of the CGIAR reform and follows the guidelines of the IEA. The approved CGIAR SRF's vision and objectives and the IEA guidelines stand as the main reference points for assessing the program. The evaluation will also provide advice based on the planned changes in the CGIAR SRF. Recommendations will be formed on the basis of the evaluation criteria: relevance, efficiency, quality of science, effectiveness, impact and sustainability, as required by the ToR and IEA guidelines.

The evaluation will consider partnerships among the implementing centers, linkages with other CRPs, and partnerships with research and development as well as boundary partners upon whom achieving development outcomes depend. Cross cutting issues – gender and youth, capacity development, communications – will be assessed at various levels within and beyond the CRP, in the context of the CRP's impact pathway.

The CCEE team will use a number of tools and approaches to assess program performance. These will include both quantitative and qualitative analyses, and where feasible, the team will try to obtain data from multiple sources in order to validate conclusions and the basis for recommendations.

At its meeting on 10 April 2015, the ISC discussed the membership of an Oversight Committee for the CCEE. Its role will be to assist the CCEE team to obtain documents and to arrange interviews as needed, and to provide substantive feedback on the draft reports produced by the CCEE team. Its membership is shown in Table 5.1.

**Table 5.1 Proposed Members of the CCEE Oversight Committee**

<b>Member</b>	<b>Role and Institution</b>
Jan de Leeuw	Dryland Scientist-Eastern Africa Team, ICRAF; ICRAF Center Coordinator and RMC member; <i>Chair of CCEE Oversight Committee</i>
Richard Thomas	Director, CRP-DS and RMC Chair
Enrico Bonaiuti	Program Manager, CRP-DS and CCEE Manager
Paul Vlek	Acting DDG Research, ICARDA; ICARDA Center Coordinator and RMC member
Anthony Whitbread	Research Program Director, Resilient Dryland Systems, ICRISAT; ICRISAT Center Coordinator and RMC member

### 5.2 Evaluation methods, tools and analysis

This part describes the information sources and the evaluation tools used by the CCEE team for data collection and analysis.

#### 5.2.1 Information Sources

The evaluation team will use the following information sources to collect information:

- Documents (Annex 2)
- Project and financial databases (Annex 2)



- CCEE inception meeting / information sharing with the TF (25 March 2015)
- Center and Flagship/ action site visits (Annex 3)
- Participation in the S&IM (7-9 Apr 2015)
- CCEE-facilitated session with four working groups during S&IM (9 April 2015)
- Observers at the RMC and ISC meetings (6 and 10 April 2015)
- Participation at Working Group meetings (Gender and Youth, Capacity Development and System Research, 10 Apr 2015)
- Interviews with a variety of stakeholders (Annex 5)
- Focus group discussions (Annex 5)
- Targeted online surveys and other data collection instruments (Annex 6)
- Expert knowledge.

**Documents.** A detailed but not necessarily complete list of documents that the CCEE team has consulted or plans to consult is in Annex 2. It contains CRP-DS project proposals, strategy documents, Annual Program Reports, participating center and partner publications, CGIAR system level documentation, management responses to reviews by the CGIAR, meeting minutes, mapped projects, peer reviewed journal publications and other scientific publications, relevant strategic documents, relevant program policies, and websites and presentations.

**Project and financial databases.** Annual Plans and budget documents, the previous audit of the program, and management responses to the Audit Report.

**CCEE inception meeting.** The CCEE's inception meeting took place at Leeds University, hosted by Prof L. Stringer, the leader of the TF. All three members of the CCEE were briefed by the Program Director and Manager on the CRP-DS and on the mission critical research areas proposed by the TF.

**Center and project site visits.** Two members of the team (D. Merrey, R. Mcleod) spent about nine days at the CRP-DS Office at ICARDA in Amman, Jordan (28 March to 5 April 2015). They were able to meeting most of the ICARDA managers and scientists involved in the CRP, obtain a great deal of documentation, and do a one-day field visit to a former action site of the CRP. The same two team members will carry out action site visits in Central Asia and South Asia (R. Mcleod), and East, West, and North Africa (D. Merrey). D. Merrey will also visit CGIAR partners in Nairobi (see Annex 3).

**Science & Implementation Meeting** (7-9 April 2015, ICRISAT, Hyderabad, India). The CCEE team's participation in the S&IM provided a unique opportunity for the team to observe the organizational decision making dynamics. The team had the opportunity to interview formally and informally board and ISC members, managers, scientists, 'theme' specialists, researchers, and Action Site coordinators, among others. In addition the team was able to interview senior managers at ICRISAT, including the Directors of two other CRPs (Grain Legumes, Dryland Cereals) for which ICRISAT is the Lead Center. The report on the S&IM will be a useful source of information, as are the presentations made.

**CCEE-facilitated session with four working groups during S&IM** (9 April 2015). The CCEE team with the support of the CRP-DS program manager facilitated four table discussions to verify the relevance and validity of the CRP and its impact pathways, assess progress in major research areas, and assess the adequacy of systems in place for CRP governance. The

sessions captured insights, observations, suggestions oriented towards lessons learned and future direction of the CRP. The guiding questions for each group are contained in Annex 6.

**Research Management Committee and Independent Steering Committee Meeting (6 and 10 April 2015).** Two members of the CCEE team (D. Merrey, R. Mcleod) attended these meetings. This provided an opportunity to understand the dynamics among the participants, and to gain more insight into the challenges facing the CRP and the decision-making processes. The minutes of these meetings will be important sources of information.

**Working Group Meetings (10 Apr 2015).** The S&IM was followed by three Working Group Meetings on cross-cutting issues: the Gender Working Group (GWG); the Capacity Development Working Group (CDWG); and the Integrated System Analysis and Modelling Group (ISAMG). J. Szonyi observed these meetings. The GWG meeting was facilitated by the Gender Program Coordinator (K. Reinprecht CRP-DS) and the Group Chair (E. Mapedza IWMI). The group discussed research progress and a recent Policy Brief: *Integrating Gender* that highlights the most important outputs and outcomes of the new gender strategy. Gender scientists from various centers (ICARDA, ICRISAT, IWMI, Bioversity, CIP) shared tools and methods they use in gender research. The workshop facilitated an exchange of experience and lessons learnt by Centers and (regional) Flagships. Discussions focused on developing potential new gender responsive tools, integrating gender into system research, the revised 'gender sensitive' theory of change, and strategies to enhance the impact pathway of the Gender Strategy.

The CDWG meeting was facilitated by the Group Chair G. Dileepkumar and R. Mula (both from ICRISAT), with representatives from ICARDA, Bioversity, CIP, IWMI, and CRP-DS Program Manager. The representatives of ICRAF, ILRI and CIAT participated through Skype and were actively involved in the discussion. Participants provided an introduction of the capacity development activities of their respective centers followed by a discussion of the CRP-DS Capacity Development Strategy and Action Plan for 2014-2016, with a special focus on impact assessment. Participant outlined action points, timeline and deliveries for the next program cycle.

The ISAMG was set up by CRP-DS as a new initiative to improve systems research and link it to the impact pathway. The ISAM group meeting was facilitated by the recently-recruited Agricultural Livelihood Systems Expert on the CRP-DS management team, Quang Bao Le, with system experts from various flagships (WAS&DS, NA&WA, ESA, CA, SA) and partners (e.g. Leeds University/ Wageningen UR). The discussion aimed to consolidate the CRP-DS integrated system approach after the S&IM 2015, and identify the main pillars and interrelated phases of the integrated system research activities along the impact pathways. It discussed complementary integrated system modelling approaches, methods, tools and indicators. It provided an overview of progress across phases/pillars of integrated system research along the impact pathway, and recommended prioritization of system-based research activities to improve system research at CRP-DS with focused action.

**Interviews.** The CCEE team has already conducted various formal and informal interviews which have provided valuable information for the assessment of the program. Interviewees to date have included senior management of ICARDA and ICRISAT, a member of the ICARDA BoT, scientists, and NARS partners (see the list in Annex 5). As the CCEE proceeds, the team

will interview a full range of stakeholders in the CRP-DS during the planned field and Center visits by email, phone, or Skype.

**Online surveys.** Online surveys and other data collection instruments (Annex 6) are being designed to collect both qualitative and quantitative data on perceptions, activities and their contribution to the program objectives. The survey is targeted to CRP-DS staff and scientists who have allocated time to CRP-DS as well as partners and other stakeholders.

**Expert knowledge.** Expert knowledge will be used throughout the evaluation as it combined with other sources (documents, interviews, workshops) providing valuable information to the assessment. The three team members have many years of experience in agricultural and natural resources research.

## 5.2 Evaluation tools and analysis

The CCEE team plans to use a combination of evaluation tools to formulate recommendations on the program. Some of the tools are listed and discussed here:

- ✓ Evaluation Matrix (Annex 1)
- ✓ Field visits to Action Sites (Annex 3)
- ✓ Semi-structured and informal interviews (Annex 6)
- ✓ Project Portfolio Analysis / Project Mapping
- ✓ Governance & Management Assessment
- ✓ Organizational Timeline
- ✓ Participatory evaluation
- ✓ SWOT analysis
- ✓ Quality of science analysis
- ✓ Beneficiary Assessment
- ✓ Contribution Analysis, Most Significant Change Stories and Outcome Mapping

### **Evaluation Matrix**

The Evaluation Matrix (Annex 1) is used to identify the most appropriate and feasible data collection methods for each of the evaluation questions from the evaluation plan (ToR). It also lists some of the issues identified by the evaluators during the inception phase that require answers or validation through the data collection and assessment. It provides an overview of the planned issues and questions to be answered, and ensures that there is sufficient triangulation between different data sources. It helps to design the questionnaires, interviews and data extraction tools for project records. The remaining tools listed here are designed to contribute to answering questions contained in the Evaluation Matrix.

### **Field Visits to Action Sites**

A CCEE team member will visit at least one Action Site in each of the five Flagship Regions (Annex 3). The team member will make field visits to sites where research is underway, and will meet and interview a wide variety of stakeholders including researchers from both Centers and NARS, other research partners, NGOs, development agencies, national decision-makers, donors, and farmers/pastoralists.

## **Semi-structured and Informal Interviews**

The CCEE team members will carry out interviews either in person or via phone or Skype with a wide variety of stakeholders, using a set of questions designed to elicit key data (Annexes 4 and 6). These questions have already been revised based on pre-testing during the visit to Amman including the field trip undertaken in Jordan.

## **Project Portfolio Analysis/ Project Mapping**

Portfolio analysis will be used to analyze activities funded through W1&2 and W3 and bilateral projects mapped to the CRP-DS, to examine the overall balance of research focus. The analysis will help determine how well the portfolio matches CRP-DS objectives, and where there are key gaps and strategic recommendations for better alignment of activities and projects to priorities. Inputs will include:

- Period of implementation
- Type of research (discovery, proof-of-concept, pilot, scale-up and -out)
- Geographic spread
- Allocation by ALS
- Value of projects by flagship
- Total budget and proportion of CRP-DS budget
- Value of projects by Center
- Distribution by value
- Donor focus by type of research, region and ALS
- Source of funds: W1-2, W3, and bilateral
- Distribution of quantified outcomes
- Rationale for mapping outside of action sites
- Type of international public good outputs.

## **Governance and Management Assessment**

In line with the Governance and Management Review of CRPs (CGIAR 2014), governance and management arrangements will be assessed in terms of efficiency, accountability, transparency and fairness. It will include an examination of structures, functions, and processes and will draw on the May-October 2014 CGIAR Internal Audit Unit's audit of CRP-DS (CO 2015). The audit covered governance, management and compliance, project management, financial management, partner and subcontract management and monitoring and evaluation. The draft report was submitted to the Lead Center and CRP-DS Director on October 31<sup>st</sup> 2014 and the PMU provided detailed responses to the draft Audit report in the month of November. The CCEE will analyze the management comments in order to assess the overall analysis of the audit. The final report with Lead Center responses was published in March 2015. The evaluation team will follow-up on key recommendations to assess compliance.

## **Organizational Timeline**

The organizational timeline indicates significant events, achievements, setbacks and changes in the history of the organization. This tool helps to provide an understanding on the specific contexts of the program. Initial assessment of the timeline shows that the resignation of the first Program Director in December 2014 and the six month period before the arrival of the

new Program Director may have contributed to the critical reviews of the 2014 Extension Proposal and unsatisfactory Audit results. However, this needs to be assessed in more depth.

### **Participatory Evaluation**

In participatory evaluation, stakeholders actively engage in developing the evaluation and all phases of its implementation. It allows stakeholders to develop locally relevant evaluation questions, improve program performance, empower participants, build capacity and sustain organizational learning and growth. The 2<sup>nd</sup> S&IM (with about 66 participants from eight Centers and all five Flagship regions, an ICARDA BoT member, and partners) provided an opportunity to the evaluation team to conduct a participatory evaluation with stakeholders (scientists, managers, partners and theme experts). Attendance at the cross cutting ‘theme specific’ Working Group Meetings on Gender, Capacity Building and System Modeling (with Climate Change Impacts and Adaptation Strategies) provided very important early feedback to the CCEE team on questions and issues to validate through the implementation process.

### **SWOT analysis**

A SWOT matrix will be used to evaluate strength, weaknesses, opportunities and threats through the program implementation. SWOT analysis has already been used as a self-assessment tool in the Capacity Development Strategy and Action Plan as a result of document analysis, interviews and stakeholder surveys. The evaluation team will be using analysis of the Capacity Development stakeholder survey assessment as valuable secondary data for the program evaluation.

### **Quality of Science Analysis**

The CRP-DS Annual Report for 2014 states that “In 2014, partner centers produced 127 published articles (72 indexed by ISI), 3 books, and several policy and technical briefs”; however, the prescribed format of Annual Reports does not provide for documenting these data. The CCEE team recognizes that the CRP-DS has not been implemented for a sufficient period to have produced a large number of scientific outputs – the team assumes many of the 127 papers are from legacy projects that began before the CRP-DS was launched. The CCEE will analyze in detail a sample of publications claimed as CRP-DS outputs. To the extent possible, the team will analyze the publication quality control processes in place, the research design and data management processes in place at the Action Sites visited, the scientists’ perceptions of the quality of scientific outputs, the ISI of the journals where papers are published, and the extent to which papers are open-access and exhibit an interdisciplinary “systems” rather than a single-discipline “component” perspective. The team will also identify work that the CRP-DS scientists believe will lead to significant scientific outputs during 2015 and 2016.

### **Beneficiary Assessment**

Beneficiary Assessment is a valuable tool for mapping stakeholders (farmers, pastoralists, farmer organizations, extension services, NARS and others) who benefit from the outputs and outcomes of the program. As part of the Beneficiary Assessment, the CCEE with substantial support from the PMU developed a partnership/ stakeholder matrix (Annex 4), which indicates the local and global partners by regional Flagships. The field visits will enable specific gender-sensitive beneficiary assessments focusing on who benefited and what type of benefits were

registered. Evaluators will observe whether benefits resulted in increased capacity or empowerment with special attention to women, youth and minority groups.

### **Contribution Analysis, Most Significant Change, and Outcome Mapping**

The CCEE team will use several tools to assess the current theory of change and pathways to achieving impact. Contribution Analysis focuses on why the observed results have occurred or did not occur and the roles played by the intervention and other internal and external factors. Contribution analysis helps to confirm or revise the theory of change and seeks evidence in terms of *what* results have occurred, *how* reasonable the key assumptions are, and what other external influences may have occurred.

The Most Significant Change approach provides information about impacts including unplanned impacts as well as focusing on the value of the impacts. It is very useful for understanding how change comes about (processes and casual mechanisms) and when (in what situations and contexts). It is also useful to support and validate (or revise) the theory of change.

Outcome Mapping provides a set of tools to identify the ‘value change’ or contributors to the outcomes, who are the beneficiaries, and what changes are expected and the strategies to achieve impacts. Results are measured in terms of changes in behavior, actions or relationships that can be influenced by the program.

### **5.3 Main limitations of the evaluation**

This CCEE has a number of limitations. First, as noted above, the level of effort budgeted is relatively less than those commissioned directly by the IEA. It has three team members, although the ToR anticipated four members (though three members is within the range recommended by the IEA for CCEEs). Especially in view of the most recent budget reduction of 19%, the CRP-DS is facing serious financial constraints and the team has sought to minimize the expenses incurred while ensuring adequate coverage and data gathering. The geographical spread of the CRP regional Flagships is quite large – Central, West and South Asia and much of continental Africa. It may be difficult for the team to personally meet and interview as many of the scientists, NARS partners, advanced research institute partners, development partners, NGOs and donors as would be ideal. Finally, language limitations will have some impact: while English is more than adequate for South Asia, and East and Southern Africa, the team will face some limitations in Central Asia, where Russian is a common lingua franca; and in North and West Africa where French is the main professional working language: none of the team members speaks either Russian or French fluently.

Nevertheless, the CCEE team will work around these limitations and are confident of producing an excellent and useful Final Report.

### **5.4 Quality assurance**

The IEA of the CGIAR takes the lead in assuring the quality of the CCEE. IEA provides the following support:

- Serve as a main point of contact for evaluation focal points for the CRPs in the development and implementation of the evaluations;
- Provide advice to the CRPs with regard to: planning, implementation, and methodology, before and during the process;

- Provide IEA evaluation standards and guidelines and other reference material as needed to the evaluation consultants;
- Provide support and guidance on methodology and quality support on each major step and deliverable (Terms of Reference, Inception Report, Draft Report and Final Report);
- Work with CRPs in implementing guidance for improving and ensuring high quality evaluations and consistency across the five CRPs;
- Participate, as needed in the evaluation Oversight Committee; and
- Provide Quality Assurance Advice on draft elements of each evaluation as follows:
  - Management and governance
  - Terms of reference for the evaluation
  - Evaluation team selection and makeup
  - Inception Report submitted by the evaluation team leader
  - Draft final Report
  - Management/governance response to final report.

The final evaluation report will undergo a Quality Control review. The IEA will set up a Quality Control Review team consisting of independent evaluation experts who will provide a summary or report on the quality of the evaluation report and processes. The findings of the Quality Control will be provided by the IEA to the CRP, Consortium and FC.

## 6. Organization and Timing of the Evaluation

### 6.1 Team composition, roles and responsibilities

The CCEE team consists of three senior professionals. Details on their experience and background are available in Annex 7. All three team members have had previous experience with CGIAR centers, and all three have had previous experience evaluating international agricultural research projects and programs.

*Dr. Ross McLeod* is an economist and financial analyst who holds a Ph.D. in economic evaluation of research and development. He is the Director of eSYS Development (economic consulting), Australia. He has 20 years of experience in designing, costing, coordinating, evaluating and reviewing development projects across 30 countries in Africa, Asia and the Pacific.

*Ms Judit Szonyi* holds an M.Sc. in environmental economics and an M.A. in economics and business administration with a specialization in environmental business management. She has about 15 years of experience in development research and program and impact evaluation, including periods of work with CGIAR centers (CIMMYT, ICARDA), FAO and other international organizations. She has provided decision support information on a variety of global development issues including agricultural development, natural resource management, extension, food security and climate change.

The Team Leader, *Dr. Douglas James Merrey* holds a Ph.D. in anthropology. During a nearly forty year career, he has lived and worked in a number of Asian and African countries and visited over 50 countries. He spent 20 years at IWMI in progressively more senior positions including Deputy Director General for Programs and Director for Africa. Since 2008 he has worked for a wide variety of clients as an Independent Consultant. He has published extensively on water management issues. Dr. Merrey is the Team Leader of this CCEE.

The major roles and responsibilities of the team members are summarized in Table 6.1. However, this is a *team* and each of us will be providing backup and support to the other members as we carry out the evaluation.

### 6.2 Stakeholder involvement

To the extent possible, this CCEE will use participatory approaches. For example, at the 2<sup>nd</sup> S&IM held in Hyderabad, India, the CCEE team was provided a session in which the participants were broken up into four discussion groups to address a set of key questions based on the Evaluation Matrix. The team will endeavor to consult as wide a set of stakeholders, both internal and external, as possible. During the field visits (case studies) the team members will seek the views and perceptions of all the stakeholders – CGIAR and NARS scientists, development agencies, policy makers, and farmers. The team will consult with a selection of donor representatives and personnel at the CGIAR FC and SC to obtain their views.

As noted above in section 6.1, an Oversight Committee was established by the ISC at its meeting in Hyderabad, India. The members will work with the PMU CCEE Evaluation Manager to ensure good communication with and appropriate accountability to the main clients and stakeholders. Their inputs were sought for the draft Inception Report and proved very valuable for finalizing it. Their inputs will also be sought on the Draft Evaluation Report, and periodically as needed. The members will also facilitate access to key people and documents when needed.



**Table 6.1 Major Responsibilities of the CCEE Team Members**

Name of Team Member	Major Responsibilities
Douglas Merrey (Team Leader)	<ul style="list-style-type: none"> <li>• Overall management and synthesis, report writing, quality of science, relevance, effectiveness</li> <li>• North Africa, West Africa and Savannas, and East Africa field visits (case studies)</li> <li>• Interview representatives of management, scientists, partners</li> <li>• Prepare Inception and Final Reports and Powerpoint© presentation; present report to client</li> <li>• Represent CCEE team</li> </ul>
Judit Szonyi	<ul style="list-style-type: none"> <li>• Survey of stakeholders</li> <li>• Theory of change and impact assessment, gender, youth, communications, capacity development, partnerships</li> <li>• Contribute to Inception and Final Reports</li> <li>• Assist with preparing the Powerpoint© presentation</li> </ul>
Ross Mcleod	<ul style="list-style-type: none"> <li>• Portfolio management: governance, financial, human resources, etc.</li> <li>• Central Asia and South Asia field visits (case studies)</li> <li>• Contribute to Inception and Final Reports</li> </ul>

### 6.3 Timeline

Annex 3 provides a detailed work plan and Anticipated Schedule, including visits to field sites and partner visits. The key milestones are as follows:

Date	Milestone
1 May 2015	Inception Report accepted
30 May 2015	Short Interim Report submitted
31 July 2015	Draft Final Report submitted
14 August 2015	Final Report submitted
19 August 2015	Powerpoint© presentation submitted

### 6.4 Deliverables and dissemination plan

The ToR lists three main deliverables of the CCEE. The CCEE team has added a fourth. They are as follows:

1. The **Inception Report** (i.e. this report): The purpose is mainly to serve as a guide and reference document for conducting the evaluation. It builds on the original terms of reference for the evaluation and on desk reviews and interviews conducted during the first six weeks of the CCEE. The Inception Report provides a detailed work plan and explains the methodologies that will be used.
2. A short **Interim Report** on the team’s initial findings and possible recommendations will be prepared at the end of the data-collection period and submitted to the Oversight Committee. The CCEE team will welcome feedback and comments on this Interim Report as it prepares the final evaluation report. (This report is in addition to those specified in the ToR.)

3. The **Evaluation Report** is the major product of the CCEE. A draft will be submitted to the Oversight Committee and IEA and based on feedback and responses, a final report will be submitted. The Evaluation Report will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the TOR and elaborated in the Inception Report. It will include an executive summary, an introduction to the evaluation, the methodologies used, background, findings, conclusions and recommendations. Supporting data and analysis will be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized. They will be evidence-based, relevant, directly following from the evaluation findings and conclusions, focused, clearly formulated and actionable and where possible and appropriate indicate a timeframe and budget.

4. A **Presentation** will be prepared for disseminating the report to a targeted audience. The agreement with the PMU is that the team will prepare a comprehensive Powerpoint© presentation which the PMU can adapt for specific audiences.

The CRP PMU and the IEA will be responsible for disseminating the report. The Team Leader will support this process as needed and requested.

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## Annexes

## Annex 1. Evaluation Matrix

Evaluation Issues and Questions	Data Collection and Analysis
<b>Relevance</b>	
<b>Coherence</b>	
<ol style="list-style-type: none"> <li>1. Some reviews have suggested that CRP-DS previously did not take a clear, explicit systems approach. The TF is helping move the program to be a truly systems-program; and the CRP DS management has taken other steps to strengthen the systems paradigm. Assess the effectiveness and outcome so far.</li> <li>2. To what extent is the new (i.e. systems) approach better suited than other research approaches to meet the challenges faced by DS stakeholders?</li> <li>3. Is there a need for a sharper definition of the DS domain? Is the definition in terms of Agricultural Livelihood Systems (ALS) appropriate? Should this CRP include irrigated systems, or focus on areas where management of limited amounts of rainwater is critical? Or on interactions—irrigated and non-irrigated areas? Should it include more attention to links to urban areas, diversification into non-agricultural livelihoods complementing agricultural-pastoralism?</li> <li>4. Given the re-orientation to a systems model, are the current regions and field sites the most appropriate? Given resource limits, should the CRP focus on a more limited set of regions-sites and concentrate sufficient resources to demonstrate progress—i.e. make a difference?</li> <li>5. Is the CRP-DS strategically coherent and consistent with the main goals and System Level Outcomes presented in the CGIAR’s SRF?</li> <li>6. Is there a rationale for, and coherence between, CRP Flagship Projects?</li> <li>7. Is W1&amp;2 financing being optimally aligned with Windows 3 and Bilateral sources to maximize impact?</li> <li>8. Are bilateral and W3 projects mapped to the CRP based on best strategic fit? How could mapping be improved?</li> </ol>	<p>Semi-structured interviews, case studies (field visits), survey and document review</p> <p>Desk reviews of the CGIAR’s Strategy and Results Framework (SRF); the original and final approved Extension Proposal; inception report; POWBs 2014, 2015; Annual Reports; TF outputs</p> <p>Analysis of sample projects In-depth case studies (field visits)</p> <p>Participation in Science &amp; Implementation (S&amp;IM) Workshop, Research Management Committee (RMC), &amp; Independent Steering Committee (ISC) meetings in April 2015</p>
<b>Comparative Advantage</b>	
<ol style="list-style-type: none"> <li>1. What is the comparative advantage of the CRP in terms of the CGIAR’s mandate of delivering international public goods; other international initiatives and research efforts, including the private sector; and partner country research institutions or development agencies?</li> <li>2. Do scientists participating in DS understand systems versus component-disciplinary research?</li> <li>3. Do the Centers and partners have the right expertise to do systems-oriented research? This would include empirical systems research comparing dryland systems across countries and continents, strong bio-physical-social-economic modeling, participatory research methodologies [“co-production of knowledge”], institutional and policy analysis; gender analysis; communication-knowledge sharing. (These may have been weakened as a result of budget cuts.) The CCEE will</li> </ol>	<p>ISPC/CO reviews of EP; TF ToR and products; CGIAR Research Portfolio Review 2013;</p> <p>Interviews with CGIAR scientists and management and with Partners</p>

Evaluation Issues and Questions	Data Collection and Analysis
<p>also consider whether there is a reasonable balance between empirical (inductive) and deductive (e.g. modeling) approaches.</p>	<p>Analysis of EP, S&amp;IM reports (2014, 2015), case studies</p>
<p>4. Does the CRP play an appropriate role in the discovery, piloting and scaling-out of research compared to other stakeholders?</p>	
<p>5. Does the CRP-DS engage with appropriate partners, given their roles in implementation and achieving the objectives of the program?</p>	<p>Interviews</p>
<p>6. What efforts are being made to avoid research duplication between the CRP-DS, other CRPs/centers, NARS and other research institutions more generally? What efforts are being made to avoid this problem or achieve collaborative synergies?</p>	<p>Small group exercise at 2<sup>nd</sup> SI&amp;IM, April 2015</p>
<p><b>Program design</b></p>	
<p>1. How have CRP-DS research sites and projects been selected? Was the evidence base adequate? What could be improved?</p>	<p>Analysis of proposal, EP, S&amp;IM reports, Risk document</p>
<p>2. Were sites selected based on clear hypotheses as an organizing principle to prioritize the research and results agenda and clear criteria for choice of target areas</p>	<p>Project portfolio analysis</p>
<p>3. Have details on the underpinning science and agronomic, genetic, and farming system approaches to be evaluated been documented across implementation?</p>	
<p>4. Has the program been designed to target the most relevant Intermediate Development Outcomes (IDOs)? How did the inception phase help in this endeavor?</p>	
<p>5. Is there are a logical link between activities, outputs and outcomes across impact pathways? Have assumptions and constraints been taken into consideration, through the development of risk mitigation and other management strategies?</p>	
<p>6. What process has been followed to prioritize CRP-DS research activities? Has this been appropriate, given the resources provided to the inception phase and complexity of the program?</p>	
<p><b>Quality of Science</b></p>	
<p>1. Do the research design, problem-setting, and choice of approaches reflect high quality scientific thinking, state-of-the-art knowledge and novelty in all areas of research?</p>	<p>Analysis of proposal, EP Literature analysis</p>
<p>2. Does the quality of output reflect value for money?</p>	<p>In-depth project analysis</p>
<p>3. Is it evident that the program builds on the latest scientific thinking and research results?</p>	<p>Researcher survey</p>
<p>4. Are the internal processes and conditions, including research staff and leadership quality, adequate for quality assurance? Is the CRP-DS scientific leadership sufficient strong? Or is the CRP overly dependent on partner Center quality control processes (and if so are they adequate)?</p>	<p>Scientist interviews</p>
<p>5. Are the research outputs, such as publications, of high quality? Are there examples of good science?</p>	<p>ICARDA employment terms and conditions, salary structure vis-à-vis other CGIAR partners</p>
<p>6. Is the CRP-DS collaborating effectively with leading institutions?</p>	

Evaluation Issues and Questions	Data Collection and Analysis
7. Are salaries and conditions sufficient to attract high quality staff? Is the time allocation of scientists at partner Centers overly fragmented which may reduce scientific quality? How much time do staff members spend on CRP-DS W1&2 funded activities versus W3 and bilateral-funded activities, and what are the synergies of any between activities funded from these sources?	
Effectiveness	
1. To what extent have planned outputs and outcomes been achieved or are likely to be achieved?	Review of POWBs; Annual Reports
2. Where, and where not, has the CRP-DS made progress toward outputs, and along the impact pathway toward outcomes?	Researcher survey, interviews and case studies
3. Is the monitoring system used effectively for adjusting the program on the basis of lessons learned?	
4. Have adequate constraint analyses and lessons from ex post studies informed program design for enhancing the likelihood of impact?	Analysis of M&E system data Review of impact pathways and theory of change
5. Is the CRP adequately addressing enabling factors for scaling up outcomes?	SWOT analysis
6. Are processes clearly defined and quality reviews conducted to improve effectiveness?	
Impacts and Likely Sustainability	
1. Have a logical framework and impact pathways been developed to explicitly link outputs to outcomes and impacts aligned with the CGIAR Strategy and Research Framework	Document review
2. Is the above based on a sound theory of change?	Interviews
3. What is the communication strategy of CRP-DS, how well is it being implemented, and how effective is it?	Case studies
4. Who are the main users of CRP-DS outputs? Is there evidence of demand for CRP DS outputs? Is there evidence of real value added?	Survey of partners, beneficiary assessment
5. Is the balance among quality of science, development outcomes and capacity development appropriate?	
6. Is there potential for substantial outcomes and impacts in the next two years of CRP-DS? Is there such potential over the next 5 or so years if the CRP-DS continues?	Analysis of M&E data
7. Scaling out and up issue and plans to link effectively with development programs to achieve success—are there any examples?	Contribution analysis
8. Have there been sufficient efforts to document outcomes and impact from past research, with reasonable coverage over all research areas?	Outcome mapping
9. Have adequate constraint analyses and lessons from ex post studies informed program design for enhancing the likelihood of impact?	Most significant change stories
10. To what extent are positive outcomes demonstrated at pilot or small-scale level likely to be sustained and out-scalable?	

Evaluation Issues and Questions	Data Collection and Analysis
<ol style="list-style-type: none"> <li>11. What are the prospects for sustaining financing, for example, for long-term research programs and key partnerships?</li> <li>12. To what extent have benefits from past research been—or to what extent are they likely to be—sustained?</li> </ol>	
Gender and Youth	
<ol style="list-style-type: none"> <li>1. Have gender and youth issues been adequately considered in research design in terms of relevance to and effect on women/youth?</li> <li>2. Has gender been adequately considered in the impact pathway analysis, in terms of the differential roles of women and men along the impact pathways, generating equitable benefits for both women and men and enhancing the overall likelihood enhancing the livelihoods of women?</li> <li>3. Does research on gender and youth have the potential to make a significant difference (or is it largely addressing marginal issues)?</li> <li>4. How gender and youth research being embedded in on-going processes and scale-up and out?</li> </ol>	<p>Analysis of POWBs; Annual Reports; Gender Strategy; Gender workshop report; Youth Strategy 2015 S&amp;IM small group exercise Interviews Case studies</p>
Capacity Strengthening	
<ol style="list-style-type: none"> <li>1. What types of capacity needs and gap analysis have been undertaken to design capacity development strategy?</li> <li>2. How is capacity development being tailored to partner and country needs?</li> <li>3. How is capacity development targeting women and youth?</li> <li>4. How is sustainability being considered in the design of capacity development programming?</li> </ol>	<p>Analysis of proposal, POWBs, Annual Reports, EP, Capacity Development (CD) Strategy. Survey of partners</p>
Partnerships	
<ol style="list-style-type: none"> <li>1. Examine the set of current partners. Are there too many CGIAR centers? Should the number be reduced to 2-3 key CGIAR partners who have specific roles and can subcontract work to other CGIAR centers? What is the adequacy of ‘advanced’ research institutes, NARS, and boundary partners? Do CRP-DS science leaders have sufficient authority to develop and implement a coherent research agenda?</li> <li>2. How strong and effective is the collaboration among CRP-DS partners?</li> <li>3. To what extent are the partnerships relevant and cover the relevant partner groups to achieve program objectives?</li> <li>4. How are partnerships chosen? Are the processes for partner selection adequate?</li> <li>5. Do partners perceive there is real value added from their participation in CRP-DS?</li> </ol>	<p>Analysis of CD Strategy, CD implementation and Annual Reports  Case studies  Survey of researchers &amp; partners  Interviews of scientists and partners</p>
Efficiency, Governance and Management	
<ol style="list-style-type: none"> <li>1. The last few years have seen a great deal of turmoil for the Lead Center as well as the CRP-DS. These include being forced to leave the ICARDA headquarters in Aleppo and establish the staff in other places (through a decentralization process). Aside from the disruption to staff and work</li> </ol>	<p>Organizational timeline Governance and management assessment</p>

Evaluation Issues and Questions	Data Collection and Analysis
<p>this has had large financial costs. The CRP-DS has had to re-submit its proposals several times, delaying the start of CRP implementation; and had to go through an Audit that has been controversial; and it has had to recruit a new Director, set up a PMU, and respond to drastic cuts in budgets (50% in late 2014, an additional 19% in early 2015). How have these events affected the performance of the CRP-DS and how has it responded to all of these pressures?</p> <ol style="list-style-type: none"> <li>2. Has CRP leadership done enough to package and “sell” the program to potential financing agencies?</li> <li>3. What has been the impact of apparent gaps, lack of explicit guidelines, frequent changes in guidance, etc. at CO level on this CRP?</li> <li>4. Has the response by the CRP management and Lead Center to the Audit been adequate? Are there additional steps that need to be taken to strengthen CRP management?</li> <li>5. To what extent do the governance and management arrangements permit and facilitate the effective participation of stakeholders?</li> <li>6. How effective is CRP-DS contract management?</li> <li>7. To what extent are the lines of accountability within the program well-defined, accepted, and being followed? Are there any significant gaps in programmatic accountability?</li> <li>8. To what extent are the program’s decision-making, reporting, and evaluation processes transparent?</li> <li>9. From the Audit report on budgeting: “The IEA in the forthcoming review of CRP 1.1 should include an assessment of the scope of the deliverables of the CRP given the current and projected levels of funding.” Elsewhere: “This is a clear indication that either budgets are loosely constructed or under-delivery will occur. As this aspect is not within the scope of this audit it is a subject that should be addressed in the forthcoming IEA review.” Has the CRP-DS adjusted its deliverables in response to reductions in the budget? If so, how has it made these adjustments, based on what criteria? What is the process followed in developing budgets by Flagship and Action Site budget holders?</li> <li>10. What has been the CRP-DS PMU response to the Audit Report recommendation to do monthly reporting RMC members?</li> <li>11. How effective and efficient have been the criteria and the procedures for allocating the program’s resources?</li> <li>12. Is the level of collaboration and coordination with other CRPs appropriate and efficient?</li> <li>13. Is the monitoring and evaluation system efficient?</li> <li>14. Are CRP implementation and sustainability related risks adequately identified and managed?</li> <li>15. Is Intellectual property used or generated by the CRP appropriately managed?</li> </ol>	<p>Analysis of audit report</p> <p>Interviews with CRP-DS and partner Center management</p> <p>Interviews with donor agencies</p> <p>Interviews with representatives of FC and CO</p> <p>Analysis of POWBs, Annual Reports, &amp; other documents</p>



Evaluation Issues and Questions	Data Collection and Analysis
<b>CGIAR Context</b>	
<p>The CRP-DS proposals have been severely criticized by the FO, CO, and ISPC. The Audit Report has also been extremely critical; but the CRP-DS response has pointed out issues reflecting shortcomings at the CGIAR level. Further, uncertainties about funding has affected the development of a longer term research program on dryland agricultural systems.</p>	<p>Proposals and commentaries on them</p> <p>Audit Report</p>
<p>1. What are the views of the FC and CO on the reasons why the CRP-DS proposals have not met their expectations? How has this affected the potential for supporting a future CRP on Dryland Systems?</p>	<p>Interviews with key representatives of the FC and CO</p>
<p>2. Has the CRP-DS had reductions in funding that are greater than those of other CRPs? If so what is the reason?</p>	<p>Interviews with CRP and partner center management</p>
<p>3. Agricultural systems research requires funding support over a reasonable length of time (say, 5-10 years). What are the prospects that the CGIAR will be able to attract sufficient stable funding to support a future Dryland Systems CRP? In other words, given recent negative trends in CGIAR funding, is a CRP working on dryland agricultural systems viable?</p>	
<p>4. What has been the overall impact of the interactions with CGIAR entities as well as budget cuts on the performance of the CRP-DS? To what extent do these contextual issues as opposed to internal CRP-DS factors explain the performance of the CRP-DS to date?</p>	

## Annex 2. Documents Consulted

This is an indicative list of documents already consulted, or which will be consulted.

Document type	Examples
CRP-DS project proposals	CRP-DS Inception Phase Report CRP-DS Proposals CRP-DS Extension Proposal
Annual plan and budget	CRP-DS Plan of Work and budget (POWB) 2015 CRP-DS Plan of Work and budget (POWB) 2014
Annual Performance Reports	CRP-DS Annual Performance Report 2014 CRP-DS Annual Performance Report 2013
Strategy Documents	CRP-DS Risk Management Plan CRP-DS Communications Strategic Plan CRP-DS Governance and Management Structure 2015 CRP-DS Gender Strategy 2015 CRP-DS Capacity Development Strategy 2015
Participating center and partner publications	E.g. Rjeibi, M.R., M. A. Darghouth, M. Rekik, B. Amor, L. Sassi, M. Gharbi. 2014. First Molecular Identification and Genetic Characterization of <i>Theileria lestoquardi</i> in Sheep of the Maghreb Region. <i>Transboundary and Emerging Diseases</i> . doi:10.1111/tbed.12271.
CGIAR system-level documentation	CGIAR Strategy and Results Framework 2011 CGIAR Strategy and Results Framework 2016-2025 CGIAR Annual Reports Review of CGIAR Research Programs Governance and Management 2014
Workshop Reports	CRP-DS Extension Workshop, 2014 Communication and Knowledge Sharing Group Strategy Workshop Report, Sri Lanka, 2015 Science and Implementation Meeting 2014 Science and Implementation Meeting 2015 (forthcoming)
Meeting minutes	RMC meeting minutes April 2015 ISC meeting minutes April 2015 (forthcoming)
Mapped projects	CRP-DS Mapped Projects 2015 by ICARDA CRP-DS Mapped Projects 2015 by ICRISAT CRP-DS Mapped Projects 2015 by ICRAF
Peer reviewed journal publications of CRP-DS	1. van Ginkel, M., J. Sayer, F. Sinclair, A. Aw-Hassan, D. Bossio, P. Craufurd, M. El Mourid, N. Haddad, D. Hoisington, N. Johnson, C. León Velarde, V. Mares, A. Mude, A. Nefzaoui, A. Noble, K. P. C. Rao, R. Serraj, S. Tarawali, R. Vodouhe, R. Ortiz. 2013. An integrated agro-ecosystem and livelihood systems approach for the poor and vulnerable in dry areas. <i>Food Security</i> 5: 751-767.  2. Robinson, L.W., P.J. Ericksen, S. Chesterman, J.S. Worden. 2015. Sustainable intensification in drylands: What <i>resilience</i> and <i>vulnerability</i> can tell us. <i>Agricultural Systems</i> 135: 133–140.
Other scientific publications	Pretty, J., C. Toulmin, S. Williams. 2011. Sustainable intensification in African agriculture, <i>International Journal of Agricultural Sustainability</i> 9(1):5-24

Document type	Examples
Prior assessment and audit of the program & management responses	Consortium Office Internal Audit of CRP 1.1 Dryland Systems, 2015
Websites	E.g. CRP-DS, Partners, Stakeholders, CGIAR Consortium, IEA
Presentations	Update on CRP-DS. Presented by Richard Thomas at ITF-CCEE meeting in Leeds, March 2015
Others	<ol style="list-style-type: none"> <li>1. CRP-DS CCEE Terms of Reference</li> <li>2. ISPC Commentary on the revised proposal Integrated agricultural production systems for improved food security and livelihoods in dry areas (CRP1.1 Drylands Systems Program) (Version of 28 January 2013). 28 February 2013.</li> <li>3. ISPC Commentary on the extension proposal for CRP No. 1.1 Dryland Systems (DS) for 2015-2016. 27 June 2014</li> </ol>

### Annex 3. Work Plan including Proposed Field and Partner Visits

Evaluation Phases	Starting Date	Duration (in days)	Member of CCEE	Milestones
<b>Inception Phase</b>	1/3/2015	1	DM	Briefing on CCEE by EB / Skype Call
	16/2/2015	5	DM, RM, JS	Preparatory Desktop Review
	24/3/2015	1	DM, RM, JS	1st meeting of CCEE team members (Leeds, UK)
	25/3/2015	1	DM, RM, JS	Meeting of CCEE team members with CRP DS management & 2 members of the ITF (Leeds, UK)
	28/3/2015	9	DM, RM	Visit CRP-DS headquarter
	30/3/2015	4	DM, RM	Interviews
	1/4/2015	1	DM, RM	Field visit to former Jordan Action Sites
	6/4/2015	1	DM, RM	CCEE team attends 4 <sup>th</sup> RMC meeting
	7/4/2015	3	DM, RM, JS	2nd Science & Implementation Meeting, Hyderabad, India (ICRISAT)
	10/4/2015	1	DM, RM	Independent Steering Committee meeting
	9/4/2015	1	DM, RM, JS, EB	CCEE facilitated Session at S&IM
	10/4/2015	1	JS	Integrated System Analysis and Modelling Meeting
	10/4/2015	1	JS	Capacity Development Working Group Meeting
	10/4/2015	1	JS	Gender Working Group Meeting
	13/4/2015	5	DM, RM, JS	Contribution to the Inception Report
	24/4/2015	1	DM	Submission of draft Inception Report
	1/4/2015		DM	Submission of final Inception Report
<b>Data collection</b>	1/4 to 30/5	15	DM, RM, JS	Document analysis
	TBD	1	DM	Visit to CGIAR Fund Office, Washington D.C.
	11-20/5/2015	10	RM	Travel to Central Asia and South Asia Flagship Project sites
	18-23/5/2015	7	DM	Visit action sites in ESA (Ethiopia)
	25-26/5/2015	2	DM	Visit Centers in Nairobi
	28/5-3/6/2015	8	DM	Visit West Africa action sites (Mali)
	4-11/6/2015	8	DM	Visit North Africa action sites (Tunisia)
	TBD	1	DM	Skype discussions with CO representative
	15/5-15/6 2015	15	JS	On-line and email survey of scientists and partners
	30/5/2015		DM, RM, JS	Submission of short Interim Report

<b>Evaluation Phases</b>	<b>Starting Date</b>	<b>Duration (in days)</b>	<b>Member of CCEE</b>	<b>Milestones</b>
<b>Analysis-synthesis</b>	15/6 to 24/7/2015	30	DM, RS, JS	Analysis, synthesis, preparation of Final Report
	15/6 to 8/8/2015	2	DM, RS, JS	Share preliminary ideas, recommendations, comment on draft concept note for Second Call
	27-31/7/2015	5	DM	Visit to Amman, Jordan
	31/7/2015	1	DM, RM, JS	Submission of draft final report
	7/8/2015	-	DM	Receipt of comments on draft final report
	10-14/8/2015	5	DM, RS, JS	Revise draft final report based on comments received
	14/8/2015	1	DM, RM, JS	Submit final evaluation report
	19/8/2015	3	DM, JS	Prepare and submit Powerpoint© presentation
<b>Dissemination</b>	TBD	3	DM	Provision for supporting dissemination, for example at ISPC meeting in Istanbul, Turkey in September-October

DM = Douglas Merrey; RM = Ross Mcleod; JS = Judit Szonyi; EB = Enrico Bonaiuti (PMU)

## Annex 4. Stakeholder Institutions Matrix

Partner(s) Name	Region	Type	Notes, meaning of acronyms
<b>INRGREF</b>	NAWA*	NARS	<b>(*) INRGREF:</b> Institut National de la Recherche en Génie Rural, Eau et Forêt (National Research Institute of Rural Engineering, Water and Forest)
<b>IRA</b>	NAWA	NARS	<b>IRA:</b> Institut des Régions Arides (Arid Regions Institute)
<b>INRAT</b>	NAWA	NARS	<b>INRAT:</b> Institut National de la Recherche Agronomique de Tunisie (National Agricultural Research Institute of Tunisia)
<b>OEP</b>	NAWA	Government Department	<b>OEP:</b> Office de l'Élevage et des Pâturages (Livestock and Pasture Authority)
<b>CRDA Sidi Bouzid</b>	NAWA	Government Department	<b>CRDA:</b> Commissariat Régional de Développement Agricole (Regional Directorate of Agricultural Development) of Sidi Bouzid
<b>CRDA Medenine</b>	NAWA	Government Department	DG CRDA Medenine (Commissariat régional de Développement Agricole de Médenine (Regional Directorate of Agricultural Development of Medenine)
<b>DG ACTA</b>	NAWA	Government Department	<b>DG ACTA:</b> Direction Générale de l'Aménagement et de la Conservation des Terres Agricoles (General Directorate for Management and Conservation of Agricultural Land)
<b>FAO</b>	NAWA	International Centers (No CG)	<b>FAO regional office Tunis, Tunisia</b>
<b>Labex Agro Montpellier</b>	NAWA	Advanced Research Institute	SupAgro, Montpellier, France
<b>AJZ</b>	NAWA	NGO	<b>AJZ :</b> Association des Jeunes de Zammour (Béni Khédache)
<b>SMSA -El Khir</b>	NAWA	Private Sector	<b>SMSA:</b> Société Mutuelle de Service Agricole (Cooperative for Agricultural Services)
<b>ODS</b>	NAWA	Government Department	<b>ODS:</b> Office de Développement du Sud (Office for South Development)
<b>ASPAE</b>	NAWA	NGO	<b>ASPAE:</b> Association pour la Sauvegarde du Patrimoine Archéologique et Ethnographique de Boughrara (NGO)
<b>Olive Institute</b>	NAWA	NARS	Institut de l'Olivier, Sfax, Tunisia
<b>ADESM</b>	NAWA	NGO	<b>ADESM:</b> Association des Etudes Stratégiques du Sud
<b>ARC-Egypt</b>	NAWA	NARS	Agricultural Research Center

Partner(s) Name	Region	Type	Notes, meaning of acronyms
<b>Zagazig Univeristy</b>	NAWA	Academia	Zagazig Univeristy
<b>Delft Environment</b>	NAWA	Private Sector	Delft Environment
<b>Agricultural Cooperative</b>	NAWA	CBO (Farmers/Water Users Association)	Agricultural Cooperative
<b>Knowledge Economy Foundation</b>	NAWA	NGO	Knowledge Economy Foundation
<b>West Noubaria Rural Development Project</b>	NAWA	Development project	West Noubaria Rural Development Project
<b>CIRAD</b>	NAWA & WAS**	International Center (Non-CG)	French agricultural and international development research institution
<b>East Delta Rural Development Project</b>	NAWA	Development project	East Delta Rural Development Project
<b>Manufia University</b>	NAWA	Academia	Manufia University
<b>INRA</b>	NAWA	NARS	INRA = Institut National de la Recherche Agronomique
<b>ONCA</b>	NAWA	Government Department	ONCA : Office National du Conseil Agricole
<b>ENA</b>	NAWA	NARS	ENA = Ecole National d'Agriculture
<b>IAV</b>	NAWA	NARS	IAV = Institut Agronomique et Vétérinaire Hassan II
<b>AMEDD</b>	WAS **	NGO	Association Malienne d'Éveil au Développement Durable
<b>ROPPA</b>	WAS	NGO	Reseau des Organisation Paysanne et de Producteurs de l'Afrique de l'Ouest
<b>CSIR -CARI CSIR-SARI</b>	WAS	NARS	Council for Scientific Institute of Research -Council for Animal Research Institute Council for Scientific Institute of Research-Scientific Agricultural Research Institute
<b>IER</b>	WAS	NARS	Institut d'Economie Rurale
<b>INERA</b>	WAS	NARS	Institut de l'Environnement et de Recherche Agricole
<b>MANOBI</b>	WAS	Private Sector	(A Private Company involved in linking Farmers to Market)
<b>MOFA</b>	WAS	Government Department	Ministry of Food and Agriculture (Ghana)

<b>Partner(s) Name</b>	<b>Region</b>	<b>Type</b>	<b>Notes, meaning of acronyms</b>
<b>INRAN - Maradi</b> <b>INRAN - Niamey</b>	WAS	NARS	Institut National de la Recherche Agronomique du Niger
<b>Centre for Dryland Agriculture-Bayero University Kano, Nigeria</b>	WAS	Academia	
<b>Catholic Relief Service (Niamey)</b>	WAS	NGO	
<b>Care International</b>	WAS	NGO	
<b>WVI</b>	WAS & ESA	NGO	World Vision International
<b>ABU</b>	WAS	Academia	Institute for Agricultural Research-Ahmadu Belo University
<b>Sasakawa-Global 2000</b>	WAS	NGO	
<b>ARCN</b>	WAS	NARS	Agricultural Research Council of Nigeria
<b>IUCN</b>	ESA	International Centers (Non-CG)	International Union for Conservation of Nature
<b>Ethiopian Institute of Agricultural Research</b>	ESA	NARS	
<b>Oromia Agricultural Research Institute</b>	ESA	NARS	
<b>IDE</b>	ESA	NGO	International Development Enterprise
<b>BusaGonofa Microfinance</b>	ESA	Private Sector	
<b>Bureau of Agriculture, Government of Ethiopia</b>	ESA	Government Department	
<b>Dodicha Farmer Cooperative</b>	ESA	CBO (Farmers/Water)	



Partner(s) Name	Region	Type	Notes, meaning of acronyms
		Users Association)	
<b>TLC</b>	ESA	NGO	Total Land Care
<b>DADO</b>	ESA	NARS	District Agriculture Development Officer
<b>Chancellor College, University of Malawi</b>	ESA	Academia	
<b>LUANAR</b>	ESA	Academia	Bunda College at Lilongwe University of Agriculture and Natural Resources
<b>BOKU/CDR</b>	ESA	Academia	Universitaet für Bodenkultur Wien/Center for Development Research
<b>IIAM</b>	ESA	NARS	Institute for Agriculture Research of Mozambique - Angonia Zootechnic Station
<b>DPA Crops and Livestock</b>	ESA	Government Department	Provincial Directorate for Agriculture - ministry of Agriculture and Food Security
<b>DAES</b>	ESA	Government Department	Department of Agriculture Research Services
<b>Bunda College</b>	ESA	Academia	Bunda College at Lilongwe University of Agriculture and Natural Resources
<b>AVRDC-CAC</b>	CA	International Centers (No CG)	The World Vegetable Center
<b>ICBA-CAC</b>	CA	International Centers (No CG)	International Center for Biosaline Agriculture
<b>Uzbek Scientific Production Center for Agriculture</b>	CA	NARS	
<b>Kazakh Institute of Rice Production in Kyzylorda</b>	CA	NARS	
<b>Tashkent State Agrarian University</b>	CA	Academia	
<b>UZRIPI</b>	CA	NARS	Uzbek Resarch Institute of Plant Industry
<b>KRIGBSP</b>	CA	NARS	Kashkadarya Scientific Research Institute of Grain Breeding and Seed Production
<b>KRASS</b>	CA	NGO	Khorezm Rural Advisory Support Service
<b>KRICH</b>	CA	NARS	Karakalpak Scientific Research Institute of Crop Husbandry

<b>Partner(s) Name</b>	<b>Region</b>	<b>Type</b>	<b>Notes, meaning of acronyms</b>
<b>National Cereal Seed Center</b>	CA	NARS	
<b>Hokimyat, Karaozak District, Karakalpakstan</b>	CA	Government Department	
<b>Karakalpak Branch of Tashkent State Agrarian University</b>	CA	NARS	
<b>CACAARI</b>	CA	NGO	Central Asia and the Caucasus Association of Agricultural Research Institutions
<b>UzRI of Karakul Sheep Breeding and Desert Ecology</b>	CA	NARS	
<b>Nukus Forestry Department</b>	CA	NARS	
<b>Karakalpak Branch of Uzbek Corn Station</b>	CA	NARS	
<b>Samarkand State University</b>	CA	Academia	
<b>GIZ Regional NRM Program in Central Asia</b>	CA	International Centers (No CG)	
<b>Tashkent State Agrarian University</b>	CA	Academia	
<b>TFI</b>	CA	NARS	Tajik Farming Institute Branch in Sogd prov.
<b>Experimental Station "Samgar" Tajik Scientific Research Institute of Horticulture</b>	CA	NARS	
<b>Scientific Production</b>	CA	CBO (Farmers/Water	

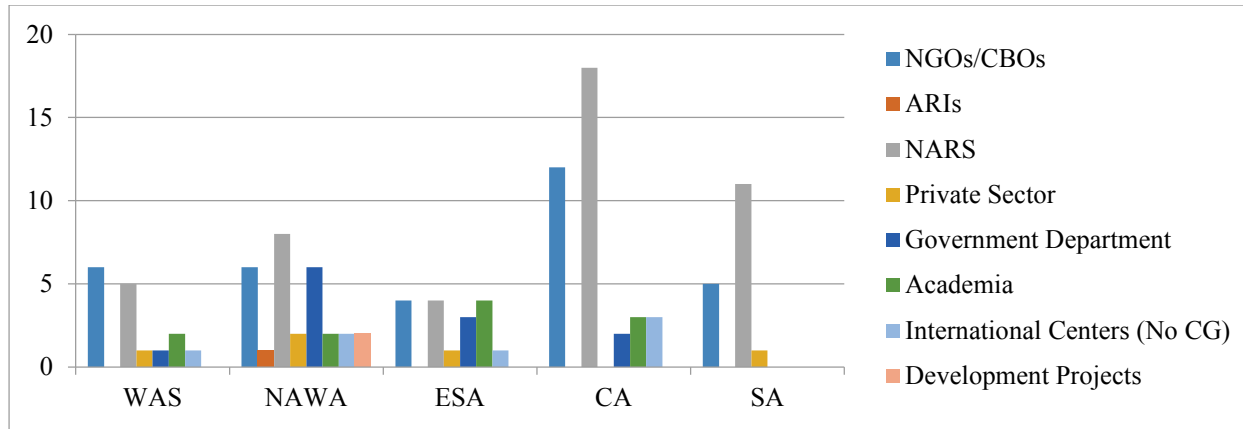
Partner(s) Name	Region	Type	Notes, meaning of acronyms
<b>Assosiation "Rakhmon Nabiev"</b>		Users Association)	
<b>Farm "Akmaljon Matmusaev"</b>	CA	CBO (Farmers/Water Users Association)	
<b>Farm "KakhramonDavlat Sakhovati"</b>	CA	CBO (Farmers/Water Users Association)	
<b>Farm "Davlat Ganimat"</b>	CA	CBO (Farmers/Water Users Association)	
<b>Farm "Mirzahkmad Sakhovati"</b>	CA	CBO (Farmers/Water Users Association)	
<b>Uzbek Research Institute of Horticulture, Viticulture and Wine-making after M. Mirzaev</b>	CA	NARS	
<b>Ministry of Agriculture and Melioration</b>	CA	Government Department	
<b>Tajikistan Academy of Agricultural Sciences</b>	CA	NARS	
<b>Soil Science Research Institute</b>	CA	NARS	

Partner(s) Name	Region	Type	Notes, meaning of acronyms
<b>Tajik Research Institute of Livestock, Branch in Sogd prov.</b>	CA	NARS	
<b>Uzbek Scientific Production Center of Ornamental Horticulture and Forestry</b>	CA	NARS	
<b>WUA Komiljon Umarov</b>	CA	CBO (Farmers/Water Users Association)	
<b>Farm "Gulomjon Mashrab Ogli"</b>	CA	CBO (Farmers/Water Users Association)	
<b>Farm "Turgunov Diyorbek Sahovati"</b>	CA	CBO (Farmers/Water Users Association)	
<b>SIC-ICWC</b>	CA	NARS	Scientific-Information Centre of the Interstate Commission for Water Coordination of Central Asia
<b>TAIC</b>	CA	NGO	Training, Advisory and Innovation Center
<b>Zilola</b>	CA	NGO	
<b>GRAVIS</b>	SA	NGO	Gramin Vikas Vigyan Samiti
<b>CAZRI</b>	SA	NARS	Central Arid Zone Research Institute
<b>KVK</b>	SA	NARS	Krishi Vigyan Kendra, Barmer
<b>Dabur India Ltd</b>	SA	Private Sector	
<b>ANGRAU</b>	SA	NARS	Acharya N.G. Ranga Agricultural University
<b>AF Ecology Center</b>	SA	NGO	

Partner(s) Name	Region	Type	Notes, meaning of acronyms
<b>Andhra Pradesh Horticultural University</b>	SA	NARS	
<b>Rural studies and Developmental society (RSDS)</b>	SA	NGO	
<b>CORUS</b>	SA	NGO	Community Organising for Rural Upliftment Society
<b>SBMMAS</b>	SA	NGO	Shri Banashankari Mahila Mattu Makkala Abhivruddhi Samsthe
<b>University of Horticultural Sciences, Bagalkot</b>	SA	NARS	
<b>UAS</b>	SA	NARS	University of Agricultural Sciences, Dharwad
<b>Social Sciences Research Institute, NARC</b>	SA	NARS	
<b>BARI</b>	SA	NARS	Barani Agricultural Research Institute
<b>SAWCRI</b>	SA	NARS	Soil and Water Conservation Research Institute
<b>RRI</b>	SA	NARS	Range Research Institute, NARC
<b>Maize, Sorghum, Millet and Fodder Program, Crop Sciences Institute, NARC</b>	SA	NARS	

Source: Partnership tables provided by PMU.

\* NAWA – NA&WA. \*\* WAS = WAS&DS



## Annex 5. People Consulted or Interviewed during Inception Phase

Date	Team Member(s)*	Person(s) Met	Notes on context
1/3/2015	DM	Richard Thomas, Enrico Bonaiuti	CRP-DS Director and Manager, via Skype: introduction to CCEE task
19/2/2015	DM	Urs Zollinger, Jenin Assaf, Enrico Bonaiuti	IEA, via Skype: discussion of role of IEA
5/3/2015	DM	Nicole Lefore	CDWG Focal Point (IWMI)
5/3/2015	DM	Everisto Mapeza	IWMI Center Coordinator (RMC Member)
30/3/2015	DM	Aden Aw-Hassan	NAWA Flagship Activity Leader, ICARDA Program Director (SEPR)
	DM	Dina Najjar	GWG Focal Point (ICARDA) NAWA Flagship Activity Leader; ICARDA gender scientist in SEPR
	DM	Ayman Frija	NAWA Flagship Activity Co-Leader, ICARDA agricultural economist in SEPR
	RM	Rima Dabbagh	CRP-DS Finance Program Coordinator
	DM	Mourad Rekik	NAWA Flagship Scientist, ICARDA small ruminant production scientist, DSIPS
	DM	Jutta Werner	NAWA Flagship Activity Co-Leader; ICARDA rangeland management and ecosystem services, DSIPS
	DM	Theib Oweis	CA Flagship Coordinator (RMC Member), NAWA Flagship Activity Leader, ICARDA Program Director IWLM
	DM, RM	Rodney Cooke	Consultant to ICARDA
	RM	Munir Louhaichi	NAWA and SA Flagship Activity Leader, ICARDA Range Ecology and Management Research Scientist DSIPS
	RM	Claudio Zucca	NAWA Flagship Activity Leader, ICARDA soil conservation and management specialist, IWLM
31/3/2015	DM, RM	Mahmoud Solh	ICARDA Director General
	DM	Karin Reinprecht	CRP DS Gender Program Coordinator
	DM	Quang Bao Le	CRP DS Agricultural Livelihoods System Expert
	DM	Tana Lala-Pritchard	CRP DS Communication Program Coordinator

Date	Team Member(s)*	Person(s) Met	Notes on context
	DM	Hichem Ben Salem	NAWA Flagship Coordinator (RMC Member) and Activity Leader; ICRDA Program Director, DSIPS
	RM	Boubaker Dhehibi	NAWA Flagship Activity Leader, ICARDA Agricultural Resource Economist, SEPR
1/4/2015	DM, RS	Multiple ICARDA, Jordanian NCARE, farmers Includes:	Field visit to former Jordan CRP DS Action Research Site
	DM, RS	Halim Ben Haj Salah	ICARDA Regional Coordinator, West Africa Program
	DM, RS	Harun Cicek	ICARDA Agronomist-Cropping Systems
	DM, RS	Muhi Eddine Hilali	ICARDA Dairy Technologist
	DM, RS	Paul Gasparini	ICARDA Project Management and Implementation Supervisor
	DM, RS	Yahya Shakhathreh	NCARE Director of Field Crops Research Directorate
	DM, RS	Adderrahim Bawalize	NCARE Research Directorate and Agromist
	DM, RS	Hothaifa Ababneh	Veterinary and Livestock Scientist
	DM, RS	Maissa Haddadin	NCARE Crop Scientist
	DM, RS	Hekmat Tawarneh	Agricultural Extension
	DM, RS	Ahmed Sharaideh	Water Harvesting Officer
	DM, RS	Yacub Hijazeen	Barley Improvement Officer
2/4/2015	DM, RM	Paul Vlek	ICARDA Center Coordinator (RMC Member) Interim DDG Research-ICARDA
	DM	Kamel Shideed [with P Vlek]	Assistant DG International Cooperation and Communication-ICARDA
	DM	Serkan Ates	NAWA Flagship Coordinator, Activity Leader, ICARDA Forage and Pasture Scientist, DSIPS
7/4/2015	DM, RM	Peter Carberry	ICRISAT: DDG Research
	DM, JS	Margret Thalwitz [ICARDA BoT, ISC ex-officio member], Jan de Leeuw [ICRAF Center Coordinator, RMC Member], Antoine Kalinganire [WAS&DS Flagship Coordinator, RMC Member, ICRAF],	Group discussion in the evening



Date	Team Member(s)*	Person(s) Met	Notes on context
		Vincent Bado [WBS ASC, ICRISAT], Sogon Raymond Vodouhe [Bioversity, WAS&DS Activity Leader] from West Africa	
8/4/2015	DM, RM	Shoba Sivasankar	ICRISAT: CRP Dryland Cereals Director
	DM, RM	Noel Ellis	ICRISAT: CRP Grain Legumes Director
	JS	Bogachan Benli	Aral Sea Region (Turkmenistan, Tajikistan and Uzbekistan) ASC
	JS	Botir Dosov	Innovation Platform Activity Leader (CA) ICARDA
9/4/2015	DM, RM	Anthony Whitbread	ICRISAT Center Coordinator (RMC Member). ICRISAT: Research Program Director, Resilient Dryland Systems
	RM	Margret Thalwitz	ICARDA BoT, ISC ex-officio member
	JS	Akmal Akramkhanov	ICARDA/ Fergana Valley ASC (Kyrgyzstan, Tajikistan and Uzbekistan)
	JS	Timur Abdurakhmanov	CIP Center Focal Point in CA
10/4/2015	DM, RM	Joanna Kane-Potaka	CKSG focal point (ICRISAT): Director, Strategic Marketing and Communication [informal lunch meeting]
27/4/2015	DM	Maarten van Ginkel	Via Skype. Outgoing DDG research at ICARDA

\* DM = Doug Merrey; RM = Ross Mcleod; JS = Judit Szonyi

## Annex 6. Data Collection Instruments

### A. Focus Group Guiding Questions Used for CCEE Feedback at the S&IM Workshop

#### Group 1: Governance and Management

What are the main a) strengths and b) weaknesses in the current governance and management of the CRP [and indeed of CRPs in general]? In the short run what changes would you like to see?

In Phase 2, what changes would you like to see in the governance and management of the CRP in order to optimize coherence, integration, efficiency, and effectiveness, while also assuring high science quality and achieving real outcomes and impacts?

Currently there are eight CGIAR centers involved in the implementation of the CRP which seems unwieldy to some. What are your views? Should the CRP be restructured to be led by fewer “core” CGIAR centers, with others contracted in as needed? Should the future CRP include non-CGIAR partners in its governance & management?

What other recommendations do you have for the future? What topics would you suggest the CCEE give highest priority to in its work?

#### Group 2: Research

The basic premise of the CRP is that its value addition is its integrated “systems” approach to research. How do you define “agricultural systems” research? How do you rate the extent to which CRP DS research meets this definition? Please provide examples.

Please also comment on whether Centers/partners have the right expertise for ‘systems’ research. Is there a shared understanding of “systems” research?

The CRP DS is currently organized in terms of geographical ‘Flagship Projects’. There are suggestions to re-organize in terms of Agricultural Livelihood Systems. How should the CRP organize future research in order to maximize its quality and relevance and contribute to achieving substantial impacts?

What do you think will be the most important research products that will be produced by the CRP DS by the end of 2016?

Suggest criteria and if possible rank the most important ones [top 5]

If the future CRP DS budget is limited to half the current budget, where should the CRP focus its limited resources?

Please respond in terms of critical research issues/problems it should address; and in terms of geographical focus

#### Group 3: Outcomes and Impacts

Is the CRP DS poised to have substantial a) outcomes, and b) impacts by the end of 2016? If yes: what will be the most important ones? What will be the pathways through which these outcomes-impacts are achieved? If not: why not and what could be possible solutions?

How can the CRP achieve a reasonable balance among producing quality science, achieving developmental outcomes, and contributing to capacity development?

The future CRPs will be under great pressure to show how the research will contribute to achieving measurable and substantial outcomes and impacts. Please identify the most important – but feasible -- potential outcomes and impact that could be achieved by 2025 in Phase 2 of CRP DS. Assume the CRP will be designed starting with identifiable outcomes and impacts, and working back to the research needed to achieve these.

Do you think the CRP DS is effectively targeting women and youth? Do you think it should put more priority and resources into this? Please give examples and reasons.

If the future CRP DS budget is limited to half the current budget, where should the CRP focus its limited resources?

Please respond in terms of potential outcomes and impacts; and in terms of geographical priorities

#### **Group 4: Partners and Capacity Development**

Who are the main users of CRP DS outputs? Is there evidence of demand for CRP DS outputs? Is there evidence of real value added? Please provide specific examples.

Does the CRP-DS engage with appropriate partners, given their roles in implementation and achieving the objectives of the program? How effective are the CRP DS partnerships? How could they be strengthened?

Please consider these questions in terms of a) research partners, and b) “boundary” partners – those who are expected to adopt or implement research outputs/recommendations, giving examples.

What do you consider the most important contributions of CRP DS to capacity development to date? Please provide specific examples.

Can you suggest ways to increase the contribution to capacity development?

The CRP has a gender & a youth strategy. Does CRP capacity building actually target women and youth adequately and take their differential needs taken into account? Does the CRP have the right partners to target women and youth effectively? Please provide examples, and suggestions for more effective targeting.

### **B. Interview Guidelines**

#### **1. CGIAR, NARS Scientists and Extension Officers**

Name:

Center:

Position:

Years in current job:

Relevance: What do you consider unique about the CRP-DS? In other words, what do you do that is different from what you used to do?

[Follow-up to first question:] What is your understanding of “dryland systems research?

Who are the users of the CRP-DS outputs? Do you think there is demand for these outputs? What is the value added of the CGIAR program versus research led by NARS?

Are the benefits of CRP-DS research clear to you?

Do you see your activities under CRP-DS as being more oriented to commodities, systems research, or global resources?

Science quality: Overall, how would you rate the quality of science in CRP-DS? [Poor--; Good -- ; Very good -- .]

How does the CRP (NARS, or your Center) go about guaranteeing the quality of science?

What do you consider the best scientific output so far? Provide at least one specific example.

What do you think will lead to or become the best scientific output within the next 2 years? Provide at least one example.

Impact & sustainability: CRPs are supposed to do research for development. How do you see this working in CRP-DS, with examples?

How do you perceive the balance among science—impact/outcomes—capacity development and coordination in CRP-DS? In other words do you think the balance is right, or needs some adjustment?

What is your strategy to broaden adoption of CRP-DS outputs? Who is being targeted and how?

What do you think will be the most significant impact of CRP-DS in the next 2 years (if any)? How will it be achieved in your view (impact pathway)? How will be sustained?

Efficiency, Effectiveness, Coherence: What do you see as the main problems or issues with regard to CRP-DS? Do you have suggestions for solving these? What do you see as the strengths of the CRP approach?

How much input have you had into the design of CRP-DS activities? E.g. attended meetings, providing your own plans, commenting on drafts, none at all

Please explain how you do the work planning for this CRP. Do you involve your partners or just do it to get it over with? Is priority setting adequate? Have activities been built on lessons learned in the past? How do you go about building your budget? What about contingencies?

(CGIAR staff only) In your work planning and implementation of CRP-DS activities, do you involve the gender and capacity development focal point people? If so, how?

(CGIAR staff only) How do you link W1&2 funds to Window 3 funded activities in your work (if applicable)?

(CGIAR staff only) Are current partners appropriate?

(CGIAR staff only) How do you decide whether to attribute an activity to CRP-DS or to some other CRP? Are the current guidelines clear?

(CGIAR staff only) Are the CRP reporting lines clear? If you work on more than one CRP, how do you go about achieving integration among them, if at all? How do you avoid double-counting?

Future: If there is a 2<sup>nd</sup> phase of CRP-DS, what are the main elements you would like to see included?

## **2. Interview Guideline: Farmers, Water User Groups**

Name of community/ WUG:

Role of respondent(s):

Gender & Generation: Male Female Youth Mature Senior citizen

Relevance: What do you consider most useful about this research [or extension] program?

Does the research/extension address the key problems, or opportunities for your type of farming?

What role have you had in the design of the research/extension? Could this have been improved? If yes, how?

Impact & sustainability:

Have you and/or your community benefitted from this research/extension program? If so how? If not what do you think are the reasons?

What do you think will be the most significant impact of CRP-DS in the next 2 years (if any)? How will be sustained?

Do you have suggestions for future research and/or extension programs?

## **3. Interview guideline: Policy maker, development agent, NGO**

Name:

Organization:

Role:

Gender: Male Female

Relevance: Does the CRP-DS research address priority dryland system development issues in your view? If so what issue(s)? What contribution have you made to identifying topics and designing and implementing the research? What are the prospects for scaling up and out the results of the research? What will be required to achieve this?

What are your views on “systems” research, as contrasted with “component” research?

Impact and sustainability:

Do you anticipate that the research will result in significant impacts on people? If so what will be the potential impacts over what time frame?

To what extent will youth, women (or local disadvantaged people) benefit from the research – and how exactly will they benefit?

Do you think the outcomes and impacts achieved by the research will be sustainable without continued support from the research organizations?

### C. Draft Survey Instrument Using Google Survey Form

Link to [Google Form](#)

This is a DRAFT/SAMPLE survey. The survey will be sent to the CRP-DS staff and partners between 15/5/2015 and 15/6/2015. The introductory part is based on the survey used for the evaluation of CRP-FTA (IEA 2014) adapted to CRP-DS.

Types of answers:

- ✓ Text (short answers in text)
- ✓ Paragraph text (long answer to elaborate on a topic)
- ✓ Multiple choice (allows to pick one of many options)
- ✓ Checkboxes (allows to pick more than one of many options)
- ✓ List (allows to pick one answer from a list)
- ✓ Scale (allows to quantify perception data)
- ✓ Grid (scale in a matrix, adds a second dimension)

Questions	Type of answers
Please indicate your host institution	checkbox
What is your job title within the home organization?	text
Since when do you work with your home institution?	list
In what country are you currently based?	list
What type of office do you work in?	multiple choice
What share of your work time was dedicated to CRPDS activities in 2014?	list
To what CRPs other than CRP-DS are you contributing or have contributed in 2014?	checklist
How well do you know the CRP-DS? <ul style="list-style-type: none"> <li>- Vision and mission</li> <li>- Objectives</li> <li>- Theory of Change and Impact Pathway</li> <li>- Governance and Management</li> <li>- Gender Strategy</li> <li>- Capacity Building Strategy</li> </ul>	Grid (Scale) (very well, well, a little bit, not quite, not at all)
How would you rate your contributions through your projects to the Strategic Research Themes: <ul style="list-style-type: none"> <li>- Strengthening innovation systems</li> <li>- Building stakeholder capacity</li> <li>- Linking knowledge to policy actions</li> <li>- Reducing vulnerability of rural communities</li> </ul>	Grid (Scale) (very significant, significant, moderate, weak, no contribution)

Some questions will be added on intellectual property rights, as requested by ICARDA/CRP-DS:

4. How do you ensure that the results of your activities are not restricted or limited by proprietorship rights?

5. What mechanisms do you use to guarantee that information and data is freely and easily accessible and safely stored?
6. Can you be certain that any technology and information that might be used from third parties at the beginning of the project does not need permission or license?
7. If such permission/license is needed, have you obtain it and if so at what price?

## Annex 7. Backgrounds and Experience of the CCEE Team Members

### **Douglas J. Merrey**

Doug Merrey has nearly 40 years of experience working and living in developing countries in Asia and Africa. He has lived and worked in India, Pakistan, Sri Lanka, Egypt, Indonesia and South Africa, and has visited many more Asian and African countries on short term assignments. For over 20 years he was employed by the International Water Management Institute (IWMI) where he held increasingly significant leadership positions. This included being the founding Director for Africa. Doug holds a Ph.D. in anthropology. From the beginning of his career he has worked in multi-disciplinary multi-cultural teams. His early field research focused on local management of irrigation schemes, but over time he has worked increasingly on national water management policies and institutional reform, and national and international river basin management. He has a substantial record of publications in international journals combined with practical advisory experience.

Working as an independent consultant since 2008, his clients have included IFAD, World Bank, IWMI, ILRI, Challenge Program on Water and Food (CPWF), the CGIAR Standing Panel on Impact Assessment (SPIA), FANRPAN, Euroconsult Mott MacDonald, and Abt Associates. His assignments have varied considerably, but included project and program evaluations (IFAD, CPWF, SPIA) and design (IFAD), an assessment of lessons learned from 40 years of land and water management interventions in Ethiopia (CPWF) and as a science coordinator on a Nile Basin research project in Ethiopia (ILRI), leader of a team advising the Kenyan government on irrigation and drainage sector institutional reform (Euroconsult), providing social science support and advice on uptake of research-based water management innovations (IWMI), providing advice to increase the effectiveness of small scale irrigation investments (IFAD), analysis and advice on governance of a new African agricultural water management network to support the Comprehensive Africa Agricultural Development Program (World Bank), and technical inputs to proposals (Abt). He recently carried out an evaluation for SPIA of impact assessments carried out by CGIAR centers on their research on irrigation and water management.

### **Ross S. Mcleod**

Dr. Ross McLeod is an economist and financial analyst with 20 years' experience designing, implementing and evaluating research and development programs across 30 countries in Africa, Asia and the Australia-Pacific. He has been responsible for the management of, and has participated in, numerous projects. Examples include preparation of 8 loans and grant projects for the mobilization of \$300+ million in development assistance across Asia over last 8 years and evaluation of 150+ agriculture, health and food security projects for Australian rural development corporations, AusAID, FAO, ILRI and the Australian Centre for International Agricultural Research. He holds a PhD in the economic evaluation of R&D.

### **Judit Szonyi**

Judit Szonyi is an Economist and Evaluation Consultant for international development organizations based in New York City. She holds an M.Sc. in Environmental Economics and an M.A. Economics & Business Administration with a specialization in Environmental Business Management. She has about 15 years of experience in research for international



development and program and impact evaluation, including extended periods of work with CGIAR centers (CIMMYT, ICARDA), FAO and other international organizations.

Judit's research focuses on providing decision support information on a variety of global development issues through socio-economic modeling and impact assessment including agricultural development strategies, land use optimization, natural resource management, extension, investment appraisal, poverty mapping, food security, climate change and alternative energy. She has solid experience on analyzing data and creating large scale georeferenced datasets and scenarios for international rural development.

Judit was a key member of the External Review and Impact Assessment of one of the ICRAF (CGIAR) programs, the African Highlands Initiative (AHI). She contributed to the review of the program progress (phase III and IV) and assessment of the AHI's performance on developing methodologies for INRM and their institutionalization in partner NARS in the East and Central Africa region. She interviewed key stakeholders, designed evaluation tools and data collection instruments, and coordinated survey data collection of 400 households in 4 sites in rural Ethiopia, Uganda and Tanzania.



RESEARCH  
PROGRAM ON  
Dryland Systems

The CGIAR Research Program on Dryland Systems aims to improve the lives of 1.6 billion people and mitigate land and resource degradation in 3 billion hectares covering the world's dry areas.

Dryland Systems engages in integrated agricultural systems research to address key socioeconomic and biophysical constraints that affect food security, equitable and sustainable land and natural resource management, and the livelihoods of poor and marginalized dryland communities. The program unifies eight CGIAR Centers and uses unique partnership platforms to bind together scientific research results with the skills and capacities of national agricultural research systems (NARS), advanced research institutes (ARIs), non-governmental organizations (NGOs), and other stakeholders to develop practical solutions.

The program is led by the International Center for Agricultural Research in the Dry Areas (ICARDA), a member of the CGIAR Consortium. CGIAR is a global agriculture research partnership for a food secure future.

For more information, please visit

[drylandsystems.cgiar.org](http://drylandsystems.cgiar.org)

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