IEA WORKSHOP ON DEVELOPMENT, USE AND ASSESSMENT OF TOC IN CGIAR RESEARCH

Report

Rome 12-13 January 2017

Independent Evaluation Arrangement

CGIAR

Table of Contents

Abbreviations

A4NH	CGIAR Research Program on Agriculture, Nutrition and Health
AR4D	Agricultural Research for Development
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
CRPs	CGIAR Research Programs
FP	Flagship Project
FTA	CGIAR Research Program on Forests, Trees and Agroforestry
GRiSP	CGIAR Research Program on Global Rice Science Partnership
IDO	Intermediate Development Outcomes
IDRC	International Development Research Centre
IEA	Independent Evaluation Arrangement
ISPC	Independent Science and Partnership Council
M&E	Monitoring and Evaluation
R4D	Research for Development
RBM	Result-Based Management
RTB	CGIAR Research Program on Roots, Tubers and Bananas
SLO	CGIAR System Level Outcomes
SRF	Strategy and Results Framework
TOCs	Theories of Change

1. Background

The 2008 reform of CGIAR, and creation of CGIAR Research Programs (CRPs) as a new modality of working together, led to a programmatic approach for conducting agricultural research. This shift was made visible through the direction to design CRPs using Theories of Change (TOCs) for planning of the research programs, laying out clearly how agriculture research outputs, through intermediate development outcomes (IDO), are expected to contribute to development impacts (specifically the three CGIAR System Level Outcomes - SLO). In the presentation of TOCs, research programs elaborated on the assumptions underpinning the impact pathway that describe the mechanisms of change for research being used, resulting in impacts at scale.

Robust TOCs for CGIAR research are needed to illustrate how progress is likely to occur towards sub-IDOs and IDOs as defined in the CGIAR Strategy and Results Framework (SRF). To assist CGIAR with implementing the TOC approach and design across the research programs, the Independent Science and Partnership Council (ISPC) commissioned a white paper[1] on the basis of an analysis of TOCs in the first set of CRP proposals (2011-12). Recommendations in the white paper include the need to incorporate non-linearity in research planning, embed learning mechanisms (feedback loops) in the research process regarding research uptake and impact, and regularly review and update the TOC. Other recommendations highlighted the need to conduct analysis of key assumptions, for example policy, assess counterfactuals, develop communication strategies, and direct research benefits to clearly intended groups, incorporating, for example gender analysis.

CRPs spent their first years in improving their TOCs and presented revised TOCs in the extension proposals for 2015-2016, while CRP Phase 2 resulted in further revised TOCs. Current CRPs have therefore undergone several cycles of ISPC appraisal and guidance and subsequent revision of the TOCs.

Concurrently, by the end of 2016, the Independent Evaluation Arrangement (IEA) had completed evaluations of the first Phase of ten CRPs, and provided quality assurance advice to further five CRP evaluations commissioned by the CRPs themselves. The evaluation teams were tasked with assessing the TOCs particularly as part of the review of the CRP's relevance and likely effectiveness. The IEA Synthesis Review of Lessons Learned from the 15 CRP Evaluations[2] found that the use of TOCs in CRPs has "improved orientation towards impacts". The Synthesis Review concluded on the need for "more efforts to adapt the TOC concept […] to the specific requirements of a highly complex international research program". It also concluded that more attention is needed in "developing disaggregated TOCs tailored for specific research activities, products and sites, while assuring that the TOCs also facilitate the production of International Public Goods".

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[1] ISPC (2012): Strategic overview of CGIAR Research programs - Part I. Theories of Change and Impact Pathways http://ispc.cgiar.org/sites/default/files/ISPC_WhitePaper_TOCsIPs.pdf

[2] Birner, R. and Byerlee D. (2016): Synthesis and Lessons Learned from 15 CRP Evaluations. Rome, Italy: Independent Evaluation Arrangement (IEA of CGIAR) http://iea.cgiar.org/wp-content/uploads/2016/10/Synthesis2016web.pdf.

2.   Purpose of workshop

The IEA organized a two day workshop to bring together a small group of stakeholders to reflect on the collective experience gained over the past five years in designing, using and assessing TOC in CGIAR, as well as to learn from external experts on latest developments and thinking on the use and usefulness of TOC in international development.

The objectives of the workshop were:

(1) take stock and draw lessons, from both internal and external experience so far, on principles and good practices for developing and using TOC in the context of agricultural research for development programs; and

(2) strengthen approaches in assessing TOC in CGIAR; whether through *ex-ante* assessment or evaluation.

The workshop discussions were intended to produce a common understanding on the characteristics of a good and useful TOC in the CGIAR context. This is necessary for the IEA to refine a framework for assessing TOCs in future CRP evaluations that corresponds with the purpose of using TOCs in CGIAR for designing, managing, monitoring, adjusting and assessing research programs. Consideration was also given to the use of TOC as an evaluation approach to assess outcomes.

There were 24 participants, all with expertise in TOC theory and use and assessment. In addition to IEA staff and ISPC members and staff, participants included senior representatives from CRPs and Centers and external experts. For a complete list of participants see Annex A.

In advance of the workshop, two background papers were prepared: (i) IEA: Lessons learned from approaches to evaluation of theories of change in 15 CRP evaluations and (ii) ISPC: Cross-CRP analysis of the Theories of Change in CRP II Proposals.

3.   Workshop overview

The workshop was structured into eight sessions:

- two introductory sessions to set the stage for the workshop and frame the discussion based on lessons learned from practice in international development experience;
- three sessions focusing on TOC from the evaluator perspective, reflecting on what had been learned from CRP Phase 1 evaluations and Phase 2 appraisal;
- one session reflected on the experience of CRP program managers who have developed and used TOC;
- two final sessions were devoted to identifying key issues and characteristics in design and use of TOCs and next steps. Two parallel working groups discussed what constitutes a good TOC i) for planning and managing AR4D programs, and ii) for evaluating them.
  The detailed agenda can be found in Annex B.

3.1   Setting the scene: ToC in Development Programs

Isabel Vogel presented the TOC concept, its history and evolution as well as lessons learnt from its application in development programs. TOC comes from a family of approaches called program theory, which includes logical frameworks and similar results-based management approaches. TOC therefore aims to encourage critical thinking about change processes, make causal relationships between actions and desired outcomes explicit, and improve intentional actions to make change happen – "real change for real people in real situations".
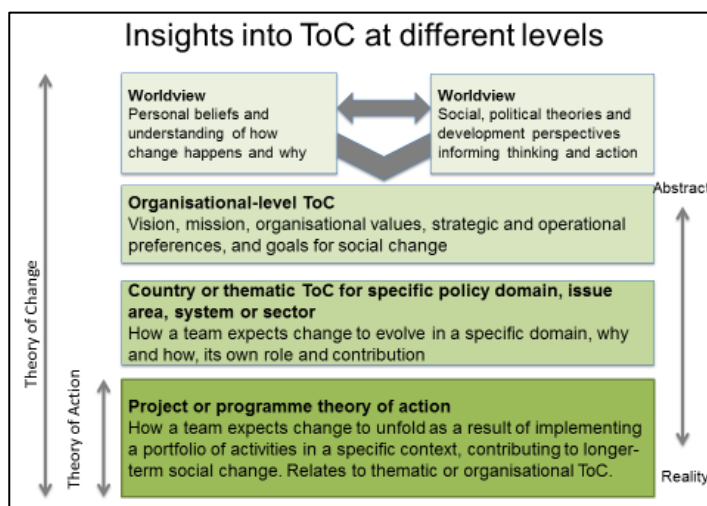
International development increasingly requires intervention at system scale, in complex processes involving complex changes over long time horizons, and with multiple actors. It is only ever possible to understand part of the system, but TOC has found use in developing more manageable conceptual models of complex systems without over-simplifying them. It was noted during the discussion that when using TOC to simplify descriptions of complex situations, there is often an unwillingness to give up complexity – the key is to know how far to simplify.

Under the TOC umbrella is a great diversity in approaches and tools. Rather than a set methodology, TOC should be considered as 'theory of change thinking' with emphasis on different elements depending on the purpose of the group working with it.

Scales

In developing a TOC, it is important to clearly define the purpose for working with TOC (research design, planning, managing, evaluating and/or communicating with external stakeholders), and to use an appropriate process that suits the purpose, with the relevant stakeholders, including a plan to improve the TOC continuously.

TOC can - and ideally should - be developed at various scales from global to project, which can be termed theory of action. For addressing many purposes, including developing a work plan for implementation, TOC may need to be developed at different scales. As the scale decreases, the TOC is becoming less abstract and more realistic, and applicable to a shorter time frame. At increasingly smaller scales, it describes changes that are expected within a geographic region or a subject domain, and from a specific portfolio of activities within a project. At country level and below, TOC deals with actual issues and people within a defined context. At the global scale it provides a broad view of the global change to which a program aims to contribute to.

Insights into ToC at different levels

Worldview — Personal beliefs and understanding of how change happens and why

Worldview — Social, political theories and development perspectives informing thinking and action

Organisational-level ToC — Vision, mission, organisational values, strategic and operational preferences, and goals for social change

Country or thematic ToC for specific policy domain, issue area, system or sector — How a team expects change to evolve in a specific domain, why and how, its own role and contribution

Project or programme theory of action — How a team expects change to unfold as a result of implementing a portfolio of activities in a specific context, contributing to longer-term social change. Relates to thematic or organisational ToC.
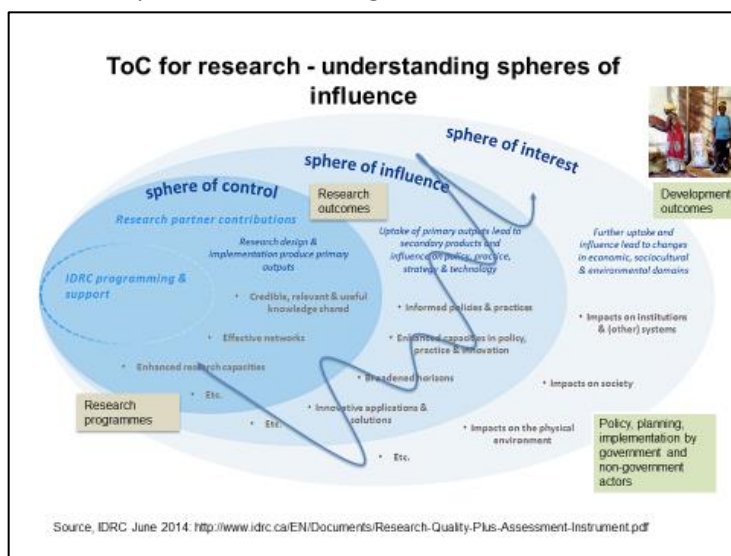
TOC in research for development

There are particular challenges to the use of TOC in complex research programs aimed to contribute to development outcomes, these include:

a) uncertainty as characteristic of research, its distance from development impact and non-linearity of the pathways;
b) scarce evidence on causality when moving from research activities and outputs to use of the results by others to wide scale development benefits; especially with respect to links with SLOs;
c) collaboration between scientists of various disciplines and stakeholders (for research and for development) that have a role to play and interest in a TOC.

A useful for development oriented research is the concept of the diminishing control of researchers as the distance from research products towards impact grows. This concept has been further elaborated on by the International Development Research Centre (IDRC) through identifying three spheres: control, influence, and interest[3]. In this conceptual model, it is considered unrealistic to hold a research program accountable for what it cannot control (i.e. what occurs in the spheres of influence and interest). However, it is not unreasonable to hold the program accountable for taking steps to increase the likelihood that the research will be used - in other words, for positioning research findings for influence and impact.

ToC for research - understanding spheres of influence

Source, IDRC June 2014: http://www.idrc.ca/EN/Documents/Research-Quality-Plus-Assessment-Instrument.pdf

3.2   Learning from CRP Evaluations

Burt Perrin summarized the main lessons from his review of TOC assessments in 15 CRP evaluations carried out in 2014-15, focusing on both the method used to assess the TOC, as well as reviewing the assessment of TOC in CRPs .

Review of TOC in CRPs: emerging patterns and lessons learned

The review used nine criteria to assess how CRPs have used TOC in their programs, focusing on:

- use in strategic planning, management and as a tool for monitoring and evaluation (M&E);
- extent to which the TOC made explicit underlying assumptions and hypotheses and incorporated complexity;
- involvement of stakeholders in the development of the TOC, agreement among them about the program logic, and ownership of the TOC model(s);

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[3] IDRC, 2014. *Towards Research Excellence for Development: The Research Quality Plus (RQ+) Assessment Instrument*.

- perceived usefulness of the TOC model and its evolution.

Key findings re CRPs: Analysis of CRP evaluation findings

KEY of findings
#YES
#SOMEWHAT
#NO

- C1. Used by the CRP: 3-0-8
- C2. Used for M&E: 3-1-6
- C3. ToC makes assumptions explicit: 4-3-3
- C4. ToC incorporates complexity: 4-2-6
- C5. Stakeholders involved in CRP: 1-1-1
- C6. Stakeholders share same views: 3-0-1
- C7. Ownership of stakeholders to ToC: 1-0-4
- C8. ToC viewed as useful vs. admin. exercise: 2-1-2
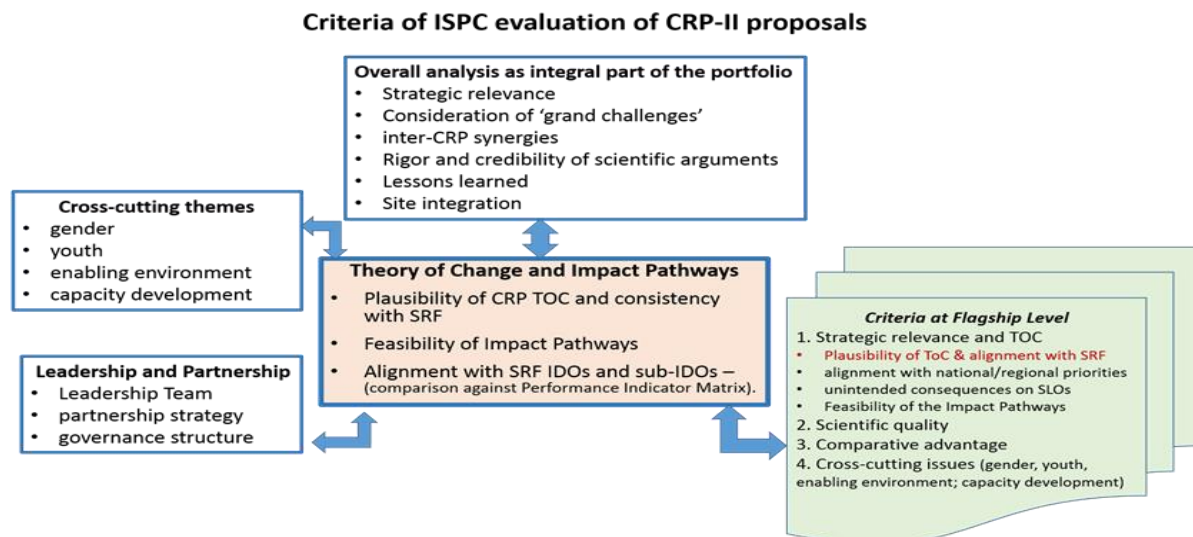- C9. Model reviewed/updated: 3(+11)-0-0

As noted in the Synthesis Study of 15 CRP evaluations, the TOC concept appears to have become widely accepted across all CRPs. All Phase 1 CRPs had some form of TOC and have reviewed and revised them at least once during the lifetime of the CRP. There have been gradually increasing efforts to build TOCs at several scales, in some cases incorporating complexity and robust assumptions. Across CRPs where evaluations commented on stakeholder involvement (criteria 5-7), this was found limited, and TOC development was found mainly to be a top-down exercise.

Evaluation approaches to assessing TOC

As for the methodology used for evaluating TOC a consistent framework and approach had not yet been developed for systematic use across evaluations, thus assessments were mostly done by expert opinion. There was also limited use of the TOC in designing the evaluations largely because TOCs were generally not very well developed or incomplete at the start of the CRPs. In their assessments, most of the evaluations reported on the use of the TOC as informed by the CRP, on how TOCs incorporated complexity and dealt with assumptions, and whether they had been updated. Few of the evaluations discussed stakeholder involvement in developing TOC or assessed their understanding of them.

3.3   Learning from CRP Phase 2 appraisals – lessons from ISPC

Jeffrey Reid presented a review of lessons learned from CRP proposal appraisals carried out by ISPC. The ISPC proposal appraisal covered many aspects, with TOC being only one element. However, TOC played a central role in the ISPC's appraisal of Phase 2 proposals, and were critically reviewed using a wide range of criteria.

Criteria of ISPC evaluation of CRP-II proposals

Overall analysis as integral part of the portfolio
- Strategic relevance
- Consideration of 'grand challenges'
- inter-CRP synergies
- Rigor and credibility of scientific arguments
- Lessons learned
- Site integration

Cross-cutting themes
- gender
- youth
- enabling environment
- capacity development

Leadership and Partnership
- Leadership Team
- partnership strategy
- governance structure

Theory of Change and Impact Pathways
- Plausibility of CRP TOC and consistency with SRF
- Feasibility of Impact Pathways
- Alignment with SRF IDOs and sub-IDOs — (comparison against Performance Indicator Matrix).

Criteria at Flagship Level
1. Strategic relevance and TOC
   - Plausibility of ToC & alignment with SRF
   - alignment with national/regional priorities
   - unintended consequences on SLOs
   - Feasibility of the Impact Pathways
2. Scientific quality
3. Comparative advantage
4. Cross-cutting issues (gender, youth, enabling environment; capacity development)

In general, the TOCs in the Phase 2 proposals were found to be more consistent across CRPs compared to Phase 1. There was an increased acknowledgement of complexity in the design and articulation of the TOC, although it not always explicitly dealt with. CRP TOCs in Phase 2 reflect greater emphasis for engaging with key partners and users, and increasingly have taken into account farmer needs and possible unintended consequences – in some cases explicitly stating the CRP will engage with farmers. Other developments in CRP TOCs included increased emphasis on gender and impact, and a more frequent reference to a learning strategy for the program as a whole.

In reviewing the proposals, ISPC also noted that many CRPs still lacked evidence to support TOCs, change mechanisms and processes were not adequately described, and there was little reference to learning strategy or plans for review and updating of the TOC. It was also noted that many TOCs lacked explicit description of stakeholder analyses and processes for engaging stakeholders, as well as feedback loops.

3.4   Learning from the experience of CRPs in developing and using TOC

Four representatives of CRPs (Agriculture, Nutrition and Health -A4NH, Forests, Trees and Agroforestry - FTA, Global Rice Science Partnership - GRiSP, and Roots, Tubers and Bananas -RTB) presented on their experiences and lessons learned from developing and using TOC. There has clearly been considerable progress in the development of TOCs, and the understanding of their use for management has increased. While experience has varied among and within CRPs, there has been overall positive progress.

Given that nine CRPs were represented at the workshop, the discussions that followed captured a rich compilation of lessons learned and challenges from experiences to date.

The following key points emerged during the discussion:

On developing TOC with stakeholder engagement and internal buy-in

- CRP managers have paid considerable attention to the TOC process and sought expert help when needed.
- While Phase 1 proposals tended to have TOCs developed by a small group of research managers, subsequent developments have involved more people. For example, in 2013 GRiSP held a series of small workshops, and a one-week workshop-*cum*-training session facilitated by an outside consultant, involving all senior staff. A4NH found greatest traction in identifying individuals in Flagship Project (FP) teams who are interested in the approach and working with them. L&F has also been through a multi-stage process and engaged consultants to assist. RTB has used a bottom-up approach to developing TOCs for research clusters in Phase 2.
- Bringing close partners into TOC development is a good way of engaging them in planning, bearing in mind that not all stakeholders are interested in the details of TOC. Some CRPs have involved stakeholders external to CGIAR. CCAFS (Climate Change, Agriculture and Food Security) has probably held the broadest engagement, with two rounds of regional multi-stakeholder consultations. Other CRPs have involved external stakeholders in developing detailed TOCs for specific projects and

initiatives but have tended to include only CGIAR stakeholders and a small number of strategic/core/managing partners in the development of program-scale TOC.

- The development of TOCs using participatory processes requires resources and time – although it is not necessarily any more resource-heavy than any other consultative planning process. The regional consultation exercises used by CCAFS are estimated to have cost nearly two percent of the program budget.
- Participatory process alone does not ensure that a good and usable TOC is developed, critical thinking is needed to challenge the TOC.
- A chronological timeline should be indicated on an impact pathway and in a TOC description, in order to illustrate when contribution to outcomes by the program may be expected.

On organizational culture and use of TOC

- Grappling with the TOC concept has necessarily brought about culture change – variously described as a shift to an evaluation culture, an opportunity for researchers to see where their research fits, and an opportunity to gain a deeper level of learning about the science process.
- Defining the "purpose" for which the TOC is intended is important, while there is no singular approach to describing or illustrating it. A TOC can be used as an aid to design and planning, management and implementation. When well described, TOC provides the opportunity to fill in the "missing middle" in the transition from research to development, in a way that cannot easily be done with a log-frame.

On TOC as management, reporting, and M&E tool

- CRP senior managers have confidence in the potential of TOC as a planning and management tool. While this confidence is not universally shared among all scientists and partners engaged in the CRPs, many have an interest in the approach, and have responded positively to attempts to engage them in the development of TOCs (or theories of action) for the initiatives in which they work.
- There has been good progress in developing TOCs but slower progress in linking TOC to monitoring and reporting processes.
- The effect of granularity (scale) was mentioned – it is easier to use a TOC-based approach to manage and monitor downstream or more development-oriented projects than for managing upstream research, where the feeling of being "forced into a mold" can create tension. TOC can be used to simplify descriptions of complex research programs. However, simplification does not mean standardization, as there is value in learning from the diversity of TOC developed for the CRPs.
- While TOCs can be a valuable management tools, it is important that the development of management tools should not stop progress – science must continue as the TOC are refined.

3.5   Using TOC in the evaluation of CRP

Within the evaluation toolkit

John Mayne opened a discussion on the use of TOC for evaluating CRPs. Within a program evaluation, in addition to assessing the use of TOC in the program, the TOC may itself become part of the evaluation

toolkit. An evaluation will use TOCs at various scales, with "nested" TOCs providing a guide to evidence needed and areas that may be contested. Usually, several different representations and scales of a TOC are needed for understanding and evaluating interventions.

The TOC would be used by the evaluation to:

- identify questions, as a basis for surveys and other data collection tools, and guiding the process of finding out why results have or have not occurred;
- add value to evaluation approaches, such as case studies, by providing the change context and assumptions and suggesting "how, why and for whom" questions;
- consider the way the TOC has been used to plan the program, to develop communication with stakeholders, and within the monitoring framework.

> **Main Messages**
>
> - Usually, several different representations of a ToC are needed, for understanding and evaluating interventions
> - ToCs should be tested for robustness, using ToC analysis
> - Nested ToCs are needed to unpack a complex intervention
> - ToCs can be very useful in designing evaluations

A robust TOC is characterized by modelling generative causality, which traces the step-by-step sequence of events between a cause and an effect – and illustrates and describes the contribution of an intervention to a result. If the TOC is considered to be sufficiently robust, an evaluation could further use it to help in reviewing causal claims by (a) assessing whether an intervention is a necessary part of a "causal package", or (b) exploring the role played by an intervention in triggering, supporting or catalysing impact. Where it is not possible to measure the contribution of an intervention to an effect, the TOC can be used to guide a contribution analysis.

4.   Key messages

This section summarizes the main issues that emerged during the discussion following the presentations, as well as during the panel and group discussions.

4.1   TOC in Research for Development (R4D)

Challenges for Agricultural Research for Development (AR4D) programs
TOC originated in development agencies, and is designed for a projectized culture in which transfer of technology and knowledge is the primary goal. It is unwise to assume that it can be adopted wholesale by CGIAR, which has a different culture and whose mandate is to advance agricultural research and innovation. AR4D programs present specific challenges to developing and using TOC.

Dealing with the unknown

Research is inherently unpredictable – it exists to discover new information and to test hypotheses. Not only are the results uncertain, but the timing of results is uncertain. Applying results-based management in the way it is applied to a development program could have the potential to undermine both the research and the innovation.

Remoteness from final outcomes

Compared to a development program, the impact pathway for a research program starts one or more steps back from development impact. This adds to the uncertainty of outcomes, since the effective use of research outputs relies partly on the relationship between research institutions, development and private sector institutions (sometimes called "boundary partners") and end users.

The meeting agreed on a number of general principles that apply equally to development programs and R4D, and also identified issues specific to AR4D programs.

Desirable characteristics for good quality TOC

- A single TOC is not sufficient for a large program. **A series of TOCs** (sometimes referred to as "nested" TOCs) **are needed at different scales**; at program scale, with limited detail, to summarise the entire program and for communicating with external stakeholders; and at smaller scales in more detail for management, monitoring and evaluation.
- Each TOC should be developed for **clearly defined purposes** (research design, planning, managing, evaluating and/or communicating with external stakeholders). The level of detail required depends on the purpose.
- TOC should include projected steps towards a desired outcome, typically in a non-linear manner. **Feedback loops** should be included in its design for adjustment of the theory.
- A TOC should include **clearly stated assumptions**. These should indicate factors beyond the control of the program as well as issues that the program can and needs to address, for example additional analysis or investigation and capacity development.
- A good TOC describes not only the progress along an impact pathway, but the **type of change** that is expected, **how** it is expected to happen, and **who** will need to be active within the program and outside it if the desired change is to occur.
- **Products and process** are both elements of the TOC and **are both equally important**. The products are the explicit expression of the TOC, needed for communication and as a reference for managers. The process of developing and revising a TOC, with all of the necessary stakeholders, is part of the change process. A consultative process may be costly, but if well done it will give value for money.
- **A TOC is not static** and will need to be reviewed from time to time during the life of the project, to take account of progress made, new knowledge gained and changes in the external environment.
- TOC is a useful approach that provides useful tools for program cycle management, but it is not a panacea, and there is a **need to manage expectations** about the approach.
- **A TOC is not a prediction of impact** – it is a description based on the information available at the time of what will need to be done to achieve a desired impact, and what might prevent that happening. A robust TOC can be an asset to an evaluation, but only when accompanied by other tools for predicting and assessing impact.

4.2   Progress in the use of TOC within CRPs

Considerable progress has been made in the use of TOC for CRP program planning with buy-in from research managers. In terms of communication, the process of TOC development has contributed to the culture change that was necessary to implement the Reform – an increased and more explicit focus on

the development impact expected from research. The meeting recognised that there is untapped potential to use TOC thinking in communicating externally. This requires a solid understanding/internalisation of TOC thinking, to the extent that it can be communicated as an "elevator speech" about the value added by research, devoid of jargon. To some extent, this is what all good R4D communication has always done; the value added by TOC thinking is the ability to communicate effectively about change processes in a complex world.

A robust TOC can also be used for the development of research questions, particularly related to assumptions about use of technology and the possible impact of the research.

Despite progress in Phase 2, TOCs have not been systematically incorporated into the formal monitoring and reporting done by CRPs, and there is potential to embed TOC more fully into the monitoring and reporting process.

5.   Conclusions

The TOC concept has become commonplace in development literature since it was introduced more than a decade ago and subsequently used in development programs. The CGIAR context of scientific research adds a layer of complexity to the application of TOC, as research is characterized by uncertainty, distance from development impacts and involving a non-linear, often iterative process.

When used thoughtfully and critically, with buy-in from stakeholders, to navigate uncertainty and inform on-going learning, TOC has been found to be highly beneficial and may serve as a good tool for learning and adaptive management at CRP level. In that respect, the rich experience gained by some CRPs in Phase 1 and during the preparation of Phase 2 should be shared more widely across the System in order to enable others to learn from that experience.

Since CRPs have made considerable progress in the development of TOC - which are now more fully articulated and developed at various scales, participants agreed that future CRP evaluations will be able to make better use of TOC. A CRP evaluation may include the appraisal of the TOC, and needs to assess its purpose, its design and its use, as well as the extent to which it supports result-based Management (RBM) approaches, and brings realism to RBM through proper appreciation of non-linearity and complexity where it exists.

While the TOCs may not necessarily be re-appraised in an evaluation, they will contribute to the design of the evaluation by helping to frame the evaluation questions, identifying issues that may have affected progress towards outcomes, reviewing the program's progress towards impact and identifying stakeholders. TOC thinking could also more explicitly be incorporated into evaluating relevance, quality of research and partnerships, even though this area was not explored in detail during the workshop. As a follow-up to this workshop, IEA will develop a guidance note for the assessment and use of TOC in CRP evaluation.

Annex A: Participant list

	Name	Affiliation/ Expertise	Email
Independent Evaluation Arrangement/CGIAR			
1.	Rachel Bedouin	Head	Rachel.bedouin@fao.org
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CGIAR Research Programs/ Center representatives			
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12.	Graham Thiele (virtual)	Director, CGIAR Research Program on Roots, Tubers, and Bananas (RTB)	G.THIELE@CGIAR.ORG
13.	Frank Place (virtual)	Senior Research Fellow, CGIAR Research Program on Policies, Institutions, and Markets (PIM)	F.Place@cgiar.org
14.	Brian Belcher	Senior Associate Scientist, CGIAR Research Program on Forests, Trees and Agroforestry (FTA)	Brian.Belcher@RoyalRoads.ca
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17.	Michelle Guertin	Senior Management, Project Management, Monitoring, Evaluation and Learning Specialist, CIMMYT, MAIZE, WHEAT and Excellence in Breeding	M.GUERTIN@cgiar.org
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External Experts			
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25.	Guy Faure	Director, of the Research Innovation Unit, CIRAD	guy.faure@cirad.fr

6. Annex B: Detailed agenda

DAY 1, THURSDAY 12 January				
Time	Session Topic and Focus	Modality	Who	Chair/ other roles
9:00-9:30	**Session 1: Welcome of participants** Introduction Setting the scene: • Background to introduction of ToC in CGIAR • Rationale for such a workshop • Purpose of the workshop • Expected output • **Present Agenda** **Introduction from ISPC Chair: Expectations from ISPC**	Presentation	Rachel Bedouin Maggie Gill	
9:30 – 10:30	**Session 2: Framing the Discussion: Considerations on ToC and lessons learned from practices in international development** Present on main theoretical principles concept. What is a good quality ToC in theory? What are the expectations? What are the lessons learned from its application in international development? What are the challenges and opportunities?	Presentation General discussion	Isabel Vogel (main presenter) Other discussants: - Jeffrey Ried - Jim Sumberg - John Mayne (virtual)	Holger Meinke
10:30-11:00	Coffee Break			
11:00 – 13:00	**Learning from recent experiences: CRPI Evaluations and Appraisals of CRP II**			
11:00-11:30	**Session 3: Learning from CRP Evaluations:** - Observations from CRP evaluations (Synthesis Review + individual evaluations); - Methodological considerations on the assessment of ToC across CRP evaluations; - Questions for the participants	Presentation (20m) Discussion (15m) Points of clarification	Burt Perrin	Rachel Bedouin
11:30 – 12:00	**Session 4: Learning from CRP II appraisal** - Observations on quality of ToC across CRP appraisals - Methodological considerations on the assessment of ToC in CRP appraisals; - Lessons and questions for the group	Presentation Discussion (15m) Points of clarification	Jeffrey Ried	Maggie Gill

12:00 – 12:45	Learning from recent experiences: CRP Evaluations and Appraisals of CRP II: Questions and discussion	Discussion	All	Leslie
12:45 – 14:00	Lunch			
14:00 – 16:45	**Learning from CRPs- developing and using TOC**			
14:00 – 15:30	Session 5: Learning from experience of CRP in developing and using TOC over CRP I and CRP II What was the process for developing ToC? What was useful? How was TOC used in the program, and what was the value added to research management? At what scale (project, COA, Flagship, CRP) was the TOC used and what for? Lessons for CRP II	Presentations from CRP representatives (10 min each) Discussants 20m General discussion 30m	Bas Bouman Nancy Johnson Brian Belcher Graham Thiele (virtual) Discussants: Frank Place (virtual) Bruce Campbell Thomas Randolph Additional discussants: Michelle Guertin Guy Faure	Jim Sumberg (facilitator)
15:30-16:00	Coffee			
16:00 – 16:45	Learning from experience of CRP in developing and using TOC over CRP I and CRP II - cont'd	General discussion		Jim Sumberg
16:45 – 17:00	Conclusions from Day 1	General discussion		Brian Belcher
17:30….	COCKTAIL hosted by IEA (INDONESIA ROOM)			