



INCEPTION REPORT

Evaluation of CGIAR Research Program on Policies, Institutions, and Markets

August 2014



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Independent
Evaluation
Arrangement

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List of Abbreviations

Bioversity	Bioversity International
CGIAR	Consultative Group on International Agricultural Research
CIAT	International Center for Tropical Agriculture
CIMMYT	International Maize and Wheat Improvement Center
CIP	International Potato Center
CRP	CGIAR Research Program
EPMR	External Program and Management Review (CGIAR)
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IDO	Intermediate Development Outcome
IEA	Independent Evaluation Arrangement (CGIAR)
IEG	Independent Evaluation Group (World Bank)
IFPRI	International Food Policy Research Institute
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
ISPC	Independent Science and Partnership Council (CGIAR)
IWMI	International Water Management Institute
MC	Management Committee (PIM)
NGO	Non-governmental organization
OECD/DAC Committee	Organisation for Economic Co-operation and Development/Development Assistance Committee
PIM	CGIAR Research Program on “Policies, Institutions, and Markets”
PMU	Program Management Unit
SLO	System-Level Outcome (CGIAR)
SPAP	Science and Policy Advisory Panel (PIM)
SRF	Strategy and Results Framework (CGIAR)
W1	Window 1
W2	Window 2
W3	Window 3

Fiscal Year of the CGIAR, IFPRI, and PIM: January to December

Introduction

Context and Rationale for the Evaluation

Under the new CGIAR structure, approved at the Annual General Meeting in 2009, research in the CGIAR is guided by the Strategy and Results Framework (SRF), first approved in 2011. This has positioned the CGIAR's comparative advantage in the context of international agricultural research and has established four high-level goals, termed System-Level Outcomes (SLOs), for CGIAR research: reduction of rural poverty, increase in food security, improving nutrition and health, and more sustainable management of natural resources.

The 15 CGIAR Centers and their partners now conduct agricultural research for development through 16 multi-partner CGIAR Research Programs (CRPs) and through additional work undertaken by the Centers directly, which are funded both by a pooled funding mechanism in the Fund and by bilateral funding to Centers (Box 1). The CRPs are a new research instrument in the CGIAR that are intended to be implemented in furtherance of the six reform principles of the CGIAR:

- (1) Pursuit of a clear vision with focused priorities that respond to global development challenges
- (2) Center collaboration
- (3) Streamlined and effective system-level governance with clear accountability
- (4) Strong and innovative partnerships with National Agricultural Research Systems (NARS), the private sector and civil society that enable impact
- (5) Strengthened and coordinated funding mechanisms that are linked to the CGIAR System's agenda and priorities
- (6) Stabilization and growth of resources.¹

Thus, the SRF provides the broad rationale and content for CGIAR Research and for the development, implementation, and evaluation of CRPs. The SRF Management Update submitted to 11th Fund Council in Mexico City, May 7–8, 2014, defined a set of Intermediate Development Outcomes (IDOs) linked to the SLOs to form the operational results framework for the CRPs.

Under the new CGIAR structures, the Independent Evaluation Arrangement (IEA) Office is now responsible for System-level independent external evaluations. The principal mandate of the IEA is to lead the implementation of the CGIAR Policy for Independent External Evaluations, through the conduct of strategic evaluations of the CRPs, institutional elements of the CGIAR, and in due time the System-wide evaluation as well as through the development of a coordinated, harmonized and cost-effective evaluation system in the CGIAR.

¹. Performance Implementation Agreement. CRP 2 – Policies, Institutions and Markets to Strengthen Food Security and Incomes for the Rural Poor. February 14, 2012, p. 1.

Box 1. Major Sources of Funding in the CGIAR System

To maximize coordination and harmonization of funding, donors to CGIAR are strongly encouraged to channel their resources through the CGIAR Fund. Donors to the Fund may designate their contributions to one or more of three funding “windows”:

- Contributions to Window 1 (W1) are the least restricted, leaving to the Fund Council how these funds are allocated to CGIAR Research Programs, used to pay system costs or otherwise applied to achieving the CGIAR mission.
- Contributions to Window 2 (W2) are designated by Fund donors to specific CGIAR Research Programs.
- Contributions to Window 3 (W3) are allocated by Fund donors to specific CGIAR Centers.

Participating Centers also mobilize financial resources for specific activities directly from donors and negotiate agreements with their respective donors for the use of these resources.

Source: CGIAR website: <http://www.cgiar.org/who-we-are/cgiar-fund/>

The IEA’s Rolling Work Plan for 2014–17, approved by the Fund Council in November 2013, foresees the evaluation of up to 10 CRPs over the 2013–2015 period. The order in which the CRPs are being evaluated was established on the basis of different criteria, such as the size of the CRP, its starting date, the extent to which it carries on past Center research, and the time elapsed since the lead Center — in this case IPFRI — was evaluated through an External Program and Management Review (EPMR). The most recent EPMR for IPFRI was completed in February 2006.

The CGIAR Research Program on Policies, Institutions, and Markets (PIM) was approved by the Fund Council in December 2011 and launched in January 2012. It is one of five CRPs that the IEA is evaluating in 2014. It is also the CRP with the greatest focus on social science research to achieve the SLOs. PIM now involves the second largest number of participating Centers (14) after the Climate Change, Agriculture and Food Security (CCAFS) CRP, which includes all 15 CGIAR Centers.

Structure of the Inception Report

This report has five substantive chapters that expand upon similar chapters in the terms of reference. Chapter 2 is a brief description of the PIM program, its objectives and activities; and its governance, management, and financing. Chapter 3 presents the principal purposes and scope of the evaluation, including the major overarching questions of the evaluation. Chapter 4 provides an overview of the major evaluation issues and questions under two major topics: research/programmatic performance and organizational performance. Chapter 5 provides the evaluation approach and methodology to answering these questions, with a particular emphasis on the data collection and data analysis instruments. The evaluation matrix in Annex B brings together the evaluation questions in Chapter 4 and the data collection and analysis in Chapter 5 in matrix form. Chapter 6 provides the organization and timing of the evaluation, including the composition of the evaluation team.

Background on Policies, Institutions & Markets

Objectives, Flagships, and Activities

The strategic goal of PIM is to “identify and promote implementation of policies, institutions, and markets to improve food security and incomes of the rural poor on a sustainable basis.” The program seeks to produce a body of knowledge to support appropriate policies, institutions and markets for pro-poor, sustainable agricultural growth.

The program views small agricultural producers as having great potential to help meet the global effective demand for food without there being significant price increases if they can obtain access to the inputs, technologies, markets, and public services that they need. Pro-poor agricultural growth has also been constrained in the past by a narrow focus on agriculture that excluded macroeconomic dimensions, environmental inputs and outcomes, and important enabling conditions such as rural infrastructure, effective markets, and complementary services like credit and agricultural extension. The program aims to help address these constraints by promoting the adoption of evidence-based policies, inclusive institutions, and equitable and efficient markets based on sound and cutting-edge research.²

The specific objectives of PIM for which the program is directly accountable are now best summarized by the Intermediate Development Outcomes (IDOs) that have been formulated for its eight Flagship projects (Table 1).

Table 1: PIM’s Intermediate Development Outcomes, by Flagship

	Flagship	Intermediate Development Outcomes
1	Foresight Modeling	Improved prioritization of global agricultural research effort for developing countries.
2	Science Policy and Incentives for Innovation	In selected countries of focus, attainment of target levels of investment in agricultural research and rates of return to research that at least meet global averages.
3	Adoption of Technology and Sustainable Intensification	Increased adoption of superior technologies and management practices in relevant domains of application.
4	Policy and Public Expenditure	Improved sectoral policy and better public spending for agriculture in agriculturally-dependent developing countries.
5	Value Chains	Strengthened value chains that link producers and consumers with lower transactions costs, increased inclusion of smallholders, and provision of benefits to both women and men.
6	Social Protection	Improved design and coverage of social protection programs with particular emphasis on vulnerable rural populations.
7	Natural Resource Property Regimes	Improved use of scientific evidence in decision processes related to sustainability of natural resources important for rural livelihoods.
8	Cross-cutting: Gender, Partnerships, and Capacity Strengthening	Strengthened empowerment of women through improved metrics that can be used by agricultural research, development, and policy making to identify needs and track progress in women’s empowerment.

Source: PIM, “Intermediate Development Outcomes for CRP Policies, Institutions, and Markets,” September 2013.

². Policies, Institutions, and Markets to Strengthen Food Security and Incomes for the Rural Poor, “A Revised Proposal Submitted to the CGIAR Consortium Board,” October 2011, p. 1.

PIM's activities were originally grouped under three broad thematic areas — (a) effective policies and strategic investments, (b) inclusive governance and institutions, and (c) linking smallholders to markets — as well as subthemes in each of these areas. However, the CGIAR Fund Council approved PIM along with the recommendation that PIM be restructured, with a more focused emphasis on impacts. Accordingly, the PIM management team developed a new structure in 2013 which groups the research work into streams addressing clearly articulated development problems. The result was the establishment of these eight Flagship projects — each with its own clusters of activities.

Research and other activities have been mapped to PIM through two separate processes. First, the PIM Management Unit (PMU) has coordinated a request for proposals process — described in greater detail in the next section of this chapter — soliciting proposals from each of the participating Centers to receive W1-2 funding in calendar years 2012, 2013, and 2014 (which also corresponds to the CGIAR's fiscal year). Those activities that receive W1-2 funds are automatically mapped to PIM, along with other activities (receiving W3 and bilateral funds) that are closely linked with them. Second, the CGIAR Consortium initially directed in 2012 that all CGIAR research activities, whatever their source of funding, should be mapped to a CRP — a requirement that seems to have since been relaxed. As of 2014, Centers participating in PIM make requests to the PMU that additional activities — funded from their own W3 and bilateral sources — be mapped to the PIM CRP. The PMU considers these requests and accepts or rejects them based on the alignment of their objectives with those of PIM and its Flagships. As a result, the process of integrating the activities funded from different sources into a unified program of activities is still a work in progress.

The master list of activities mapped to PIM, provided by the PMU to the evaluation team on April 2, 2014, contained 494 activities. However, 104 of these activities are associated with IFPRI's Country Strategy Support Programs (CSSPs), funded from W3 and bilateral sources — in large part from USAID. IFPRI has had internal discussions about removing these from the PIM program because the CSSPs are long-term and flexible programs with large components of capacity strengthening and their activities cut across many PIM Flagships. It is also difficult for CSSP activities to report to PIM; including them in PIM adds additional reporting requirements for little real purpose. On the other hand, in the eight countries where they operate, CSSPs represent an existing partnership with the government to facilitate the translation of research results into positive policy outcomes.

Including the 104 CSSP activities in this evaluation, only one of which is supported by W1-2 funding, would present the risk of focusing the evaluation too much on IFPRI's activities to the relative neglect of those based in other Centers, and IFPRI is in any event currently commissioning its own mega-study of its CSSPs. Therefore, the evaluation team and the Director-General of IFPRI have mutually agreed that this evaluation will have a reduced emphasis on the CSSP activities that are mapped to PIM. As explained further below, the evaluation will undertake a meta-review of previous assessments of individual country support programs that will contribute to several evaluation questions in relation to effectiveness. Members of the evaluation team will also visit five of the CSSP countries during the course of the evaluation.

Of the remaining 389 activities on the list, 333 activities received some form of funding in 2013 — the only year for which such complete information is available (Tables 2 and 3). The remaining 63 activities were either discontinued in 2013, or did not start until 2014. Of the total expenditures of \$58.7 million in 2013, 40 percent came from W1-2 funds, and 60 percent from W3/bilateral funds. Four of the Flagships (1, 3, 4, and 5) received three-quarters of the funding. Activities based in IFPRI received 57

percent of the W1-2 funding, and 69 percent of the total funding (including W3 and bilateral), followed by the activities based in ICRISAT, CIP, and Bioversity.

Of the 88 activities that received W1-2 funding in 2013, about 40 percent are “legacy” activities. That is to say, they are a natural continuation of research activities that started in IFPRI and the participating Centers prior to the establishment of PIM in 2012, even if they first received W1-2 funding from PIM in 2012 (and the official start date of these activities is listed as “2012” in the master list of activities mapped to PIM)

PIM has three main product lines:

- (1) Evidence-based research that aims to set agendas, clarify trends and identify issues requiring attention of the global community;
- (2) New tools, metrics, models, data, and knowledge that could be used in program and policy decision-making processes for governments, NGOs, private sector, and academicians;
- (3) Location-specific analysis that may be relevant to policy decisions in specific jurisdictions and results from these analyses synthesized for global public goods.³

PIM aims to help achieve CGIAR system-level outcomes through three main impact pathways (Figure 1):

- (1) Informing and enriching research and bolstering the capacity of research communities
- (2) Influencing policy development and implementation by major development agencies
- (3) Providing policy recommendations for policymakers and decision makers at the global, national, and local levels.⁴

³. CGIAR Research Program on Policies, Institutions and Markets, “Annual Reporting for the Year 2012 from PIM/CRP2 to the Consortium,” p. 5.

⁴. Policies, Institutions, and Markets to Strengthen Food Security and Incomes for the Rural Poor, “A Revised Proposal Submitted to the CGIAR Consortium Board,” October 2011, p. 1.

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Table 2: PIM Activities and Expenditures in 2013, by Flagship and Main Source of Funding (not including CSSP activities)

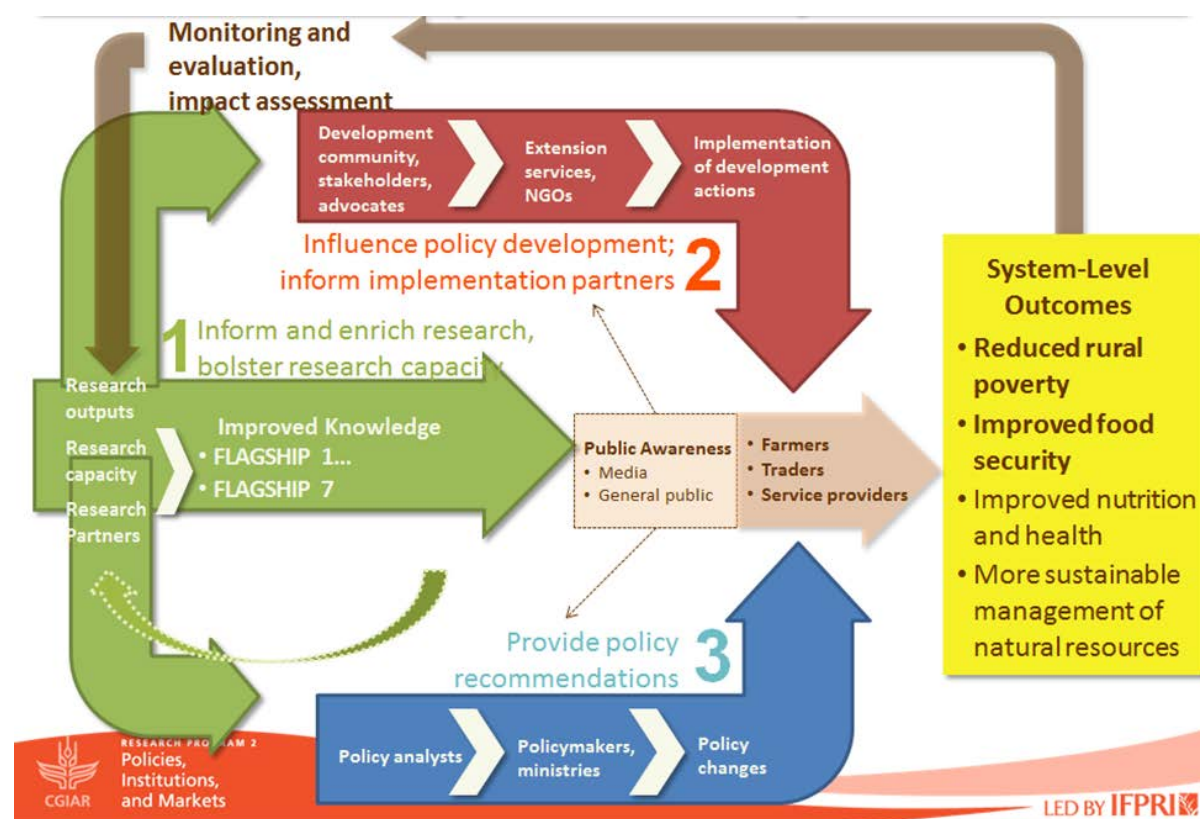
Flagship	Number of Activities				2013 Expenditures (US\$)				W1-2 Share
	W1-2	W3	Bilateral	Total	W1-2	W3	Bilateral	Total	
Foresight Modeling	12	1	11	24	3,575,667	12,648	1,530,200	5,118,515	15.3%
Science Policy and Incentives for Innovation	1	6	44	51	94,229	2,306,012	4,767,444	7,167,684	0.4%
Adoption of Technology and Sustainable Intensification	14	3	36	53	4,265,254	216,719	6,648,065	11,130,039	18.3%
Policy and Public Expenditure	19	2	36	57	4,167,003	315,282	6,823,183	11,305,468	17.8%
Value Chains	20		29	49	5,545,731		4,743,821	10,289,553	23.7%
Social Protection	3	2	25	30	2,106,950	220,768	2,991,235	5,318,953	9.0%
Natural Resource Property Regimes	12		26	38	1,776,801		3,670,248	5,447,049	7.6%
Cross-cutting: Gender, Partnerships, and Capacity Building	5	6	10	21	748,124	308,868	658,376	1,715,368	3.2%
Undetermined	2		8	10	1,081,861		83,843	1,165,704	4.6%
Total	88	20	225	333	23,361,621	3,380,297	31,916,415	58,658,333	100.0%

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Table 3: PIM Activities and Expenditures in 2013, by Center and Main Source of Funding (not including CSSP activities)

Center	Number of Activities				Total 2013 Expenditures (US\$)				W1-2 Share
	W1-2	W3	Bilateral	Total	W1-2	W3	Bilateral	Total	
IFPRI	46	18	174	238	13,534,426	2,765,797	23,700,881	40,001,103	56.9%
ICRISAT	9	2	8	19	1,606,560	614,500	2,713,861	4,934,921	6.8%
CIP	2		5	7	881,028		2,357,167	3,238,195	3.7%
Bioversity	5		14	19	1,118,080		1,429,256	2,547,336	4.7%
ILRI	5		3	8	1,658,354		281,650	1,940,004	7.0%
ICRAF	5		8	13	1,023,266		661,982	1,685,248	4.3%
CIAT	3		6	9	979,780		276,468	1,256,248	4.1%
IITA	2		2	4	665,000		117,000	782,000	2.8%
Worldfish	2		3	5	284,282		319,958	604,240	1.2%
CIMMYT	1			1	300,000			300,000	1.3%
ICARDA	3		2	5	418,780		58,192	476,972	1.8%
IWMI									0.0%
PMU	5			5	1,310,846		1,310,846		5.5%
Total	88	20	225	333	23,780,401	3,380,297	31,916,415	58,077,113	100%

Figure 1. PIM's Impact Pathways: Original Formulation



Source: PIM, *Intermediate Development Outcomes for CRP Policies, Institutions, and Markets*, September 2013, p. 3.

PIM achieves impacts by influencing decision processes that determine policy outcomes. PIM disseminates research results among key stakeholders, aiming to create increased awareness that, through the policy process, will shape actionable instruments that achieve change, including (a) decisions on the magnitude and composition of public spending, (b) the design of programs, and (c) the adoption or repeal of legislation and regulations. These in turn affect the decisions of producers, consumers, and other economic actors along the supply chains of the food system.

Each Flagship aims to conform to PIM's generic impact pathway, but has its own causal links and loops between analytical effort and objectives, outputs, outcomes, and intermediate progress benchmarks. Each Flagship responds to an identified problem statement, and is linked to indicators that measure progress towards the achievement of the IDO they are aiming to reach.⁵

Both internal and external partnerships play an important role element in achieving outcomes and impacts. A large majority of partners comes from research-focused organizations (National Agricultural Research Systems [NARS], research institutes and academia). Government organizations, regional organizations, non-governmental organizations (NGOs) and development agencies also constitute

⁵ PIM, "Intermediate Development Outcomes for CRP Policies, Institutions, and Markets," September 2013.

important channels for implementation, outreach and communication. PIM adopted a specific partnership strategy in October 2012 which is based on PIM's three product lines and the most effective role of partnerships in each type of work.

PIM has aimed to integrate gender issues into the program from the beginning, and every activity funded by W1-2 funds has to indicate what it is doing in relation to gender. PIM adopted an explicit gender strategy that was approved by the CGIAR Consortium in March 2013 and has established gender-specific IDOs for each of the first seven Flagships (Table 4). The strategy builds on some gender-specific legacy activities such as the Gender, Agriculture and Assets Project (GAAP) and the Women's Empowerment in Agriculture Index (WEAI), and other legacy activities in Flagships 5, 6, and 7 (value chains, social protection, and natural resource property regimes) in which gender mainstreaming was already strongly established. PIM's gender strategy also foresees the development of guidelines for collecting and analyzing data so as to make all datasets useful for gender analysis. The percentage of resources allocated to gender research is conservatively estimated at 7 percent of the 2013 plan of work and budget and 13 percent of the 2014 plan of work and budget.⁶

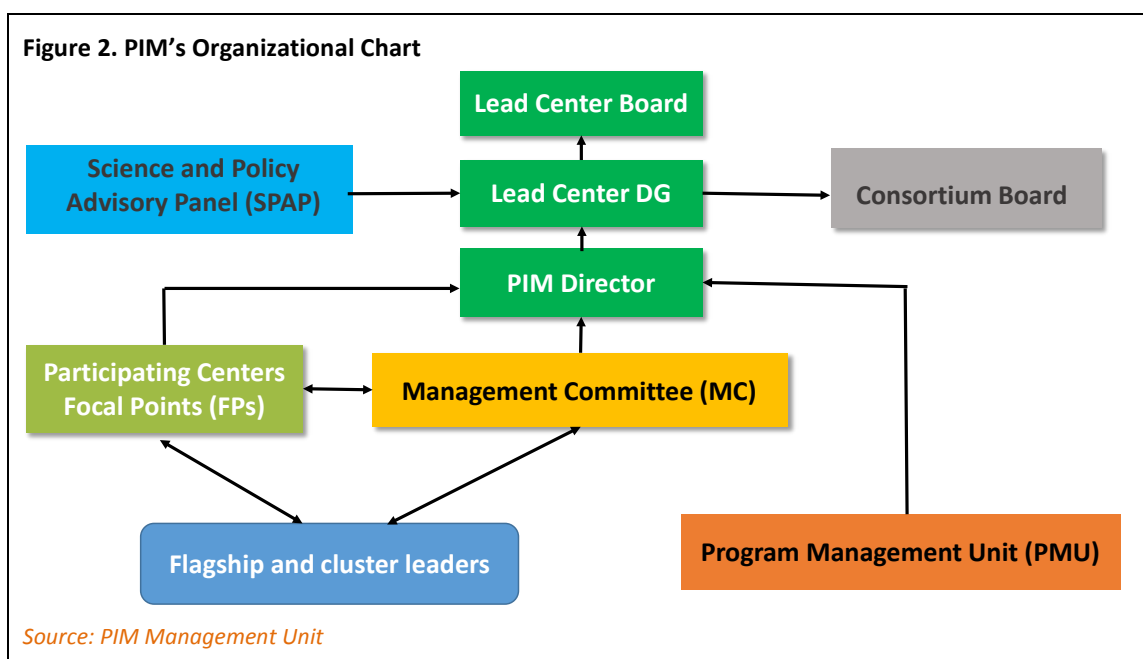
Table 4: Gender-Specific Intermediate Development Outcomes, by Flagships

Flagship	Intermediate Development Outcomes
1 Foresight Modeling	Gender implications explicitly considered among criteria in priority-setting for investment in agricultural research
2 Science Policy and Incentives for Innovation	Gender implications explicitly considered among criteria in priority-setting for investment in agricultural innovation.
3 Adoption of Technology and Sustainable Intensification	Gender-specific constraints to adoption and differential impacts of adoption are identified and addressed
4 Policy and Public Expenditure	Sectoral policy and public spending for agriculture in agriculturally-dependent developing countries address barriers that differentially constrain women's opportunities.
5 Value Chains	Gender inequalities in value chains are reduced or removed
6 Social Protection	Social protection programs meet needs of women and men, girls and boys
7 Natural Resource Property Regimes	Gender implications explicitly considered among criteria in priority-setting for investment in agricultural research

Governance and Management

The PIM Management Unit consists of a Director (Karen Brooks) and five other staff located in the Lead Center, IFPRI (Figure 2). The Director reports to the Director General of IFPRI (Shenggen Fan), who reports to the IFPRI Board of Directors, which has ultimate responsibility for the governance of PIM.

⁶. CGIAR Consortium, *Assessment of the Status of Gender Mainstreaming in CGIAR Research Programs*, July 30, 2013



Similar to other CRPs, there are three levels of contractual arrangements in relation to PIM which provide for programmatic and fiduciary oversight of the W1-2 funds provided to the program:

- Between the CGIAR Fund Council and the Consortium: The Council and the Consortium signed a **Joint Agreement** in April-May 2011 that sets out the umbrella terms which govern the submission and approval of CRP proposals and the transfer and use of W1-2 funds to CRPs, and a **Consortium Performance Agreement** in relation to PIM, in which the Consortium assumes overall financial and programmatic responsibility for the implementation of PIM.
- Between the CGIAR Consortium and the Lead Center, IFPRI: The Consortium and IFPRI have signed a **Program Implementation Agreement** in which IFPRI assumes responsibility to the Consortium for the use of W1-2 funds transferred to it and for the satisfactory performance of PIM.
- Between IFPRI and the eleven other participating Centers: IFPRI has signed a **Program Participant Agreement** with each participating Center in which each Center is responsible to IFPRI for the use of W1-2 funds transferred to it and for the satisfactory performance of its activities in relation to PIM.

The **Science and Policy Advisory Panel (SPAP)** consists of eight eminent external experts and one observer that reports to the Lead Center Director General. This provides independent advice to the Lead Center Director General and the Management Committee on strategic directions, research priorities and focus, and relevant management and partnership issues.

The **Management Committee (MC)** consists of the PIM Director, 5 other CGIAR staff (mostly from IFPRI) and two non-CGIAR staff (from Yale University and World Vision International). The MC assists and advises the PIM Director in (a) coordinating strategic planning of the program, (b) determining research priorities, (c) allocating W1-2 resources, (d) managing monitoring and evaluation activities, (e) interfacing with the SPAP, the Center Focal Points, and the Flagship and Cluster Leaders, and (f) facilitating collaboration and partnerships across PIM partners.

The **Participating Center Focal Points** are responsible for coordinating and facilitating interactions between their Center and the Lead Center regarding PIM activities. They are appointed by their own Centers and accountable both to their own Center and to PIM management.

The **Flagship and Cluster Leaders** are responsible for leading and coordinating their respective Flagships/clusters in cooperation with the PIM Director, MC, and PMU. This includes leading the process of defining Flagship/cluster strategic directions, developing Flagship/cluster products, developing partnerships, monitoring the progress of the activities in the Flagship/cluster, and participating in monitoring, evaluation, and impact assessment activities as needed.

Thus the stakeholders for this evaluation include the following:

- The CGIAR Fund Council and Consortium
- The Lead Center (IFPRI) Board and Management
- The PIM governance and management bodies
- Research scientists and CG Center staff
- PIM partners (research, implementation, outreach, and funding partners)
- Beneficiaries
- Other CRPs

They also include the Independent Evaluation Arrangement, the Evaluation Reference Group, and the PIM evaluation team on the evaluation side.

During the first two years, a lot of the work of the PMU, MC, Focal Points, and Flagship and Cluster Leaders has involved the allocation of W1-2 resources among activities proposed by the participating Centers and Flagships. The program made an initial allocation in 2012, which included indicative allocations for 2013 and 2014, assuming good progress and the availability of W1-2 funds as per the approved proposal. Then the program made both an initial and a supplementary allocation in 2013, and has now made an initial allocation for 2014 (Tables 5 and 6).

The process and the criteria that the program has been using to allocate its W1-2 resources emerged as an important issue in the initial desk review of PIM documentation and interviews with CGIAR staff, as the program seeks to utilize these resources as strategically as possible to achieve its IDOs. The following are some of the salient features of this allocation process to date:

- The program has followed a constrained request-for-proposals process of resource allocation, followed by centralized review and final selection. The 2012 allocation and the initial 2013 allocation were constrained by the historical allocations of W1-2 funding among Centers. (The supplementary allocation in 2013 was not so constrained.) As a result,

Bioversity, ICARDA, ICRISAT, and ILRI received allocations that were at or exceeding their requests in 2012, although not all their proposals were approved. The other Centers, and particularly IFPRI received allocations that were below their requests — in the case of IFPRI, more than \$5 million below their overall request of \$12.9 million.

- The program was just getting started in 2012 and the Consortium Office was slow in providing PIM with its W1-2 allocations in 2012 and 2013. Therefore, the resource allocations were not made until April in both 2012 and 2013 — four months into the fiscal year.
- The 2012 allocations were solid for the first year and indicative for the next two years. Accordingly, 65 activities were approved in 2012 (out of 90 proposals submitted), 27 new activities in 2013, and only 10 new activities in 2014. Of the 65 activities that began in 2012, 59 continued to receive allocation in 2013, and 51 in 2014. Of the 27 activities that began in 2013, only 11 continued to receive allocations in 2014, due to the nature of the 2013 supplemental allocations — mostly add-on funding for deliverables that complemented already funded activities, and that could be completed by end-2013 (as opposed to new multi-year activities).
- Of the \$16.2 million that was budgeted in 2012, only \$10.4 million was spent. Unspent funds could not be carried over at the activity or Center level, but they could be carried over at the CRP level. So unspent funds in 2012 and 2013 reverted to PIM to be added to each year's new allocation of resources from the Consortium.
- In 2012, subtheme leaders were asked to assess and score the proposed activities according to the following criteria: Clarity of purpose (statement of problem, purpose, and feasibility); methodology (detail, appropriateness, and feasibility); innovation (refinement, improvement, or new application of theoretical concepts, methods, or interventions); contribution to PIM outputs and outcomes; partnerships and collaborations; and relevance to other themes, outputs, outcomes of the PIM. In addition, MC members were asked to assess proposals particularly with regard to their "partnership and collaboration opportunities between Centers and activities."
- In setting 2013 funding priorities, the MC particularly emphasized tools and models: "expansion of foresight activities, mapping of the CGIAR work, updating of SAMs [social accounting matrices], measures of the incentive environment, gender tools," and "models and tools for sustainable intensification of agriculture" — the latter being a new subtheme in 2013. Foresight modeling was also considered an arena for PIM to build capacity mutually among IFPRI and other CGIAR Centers, such as ICARDA, WorldFish, and CIMMYT, but ideally with collaboration from other CRPs and bilateral funds.

Looking forward, the PMU and MC have emphasized foresight modeling and value chains as two of the "big blocks" for prioritized research funding after 2014.

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Table 5: Allocation of W1-2 Resources among Flagships, 2012-2014

		2012			2013		2014	
Flagship	No. of Activities	Budget (US\$)	Expenditures (US\$)	No. of Activities	Budget (US\$)	Expenditures (US\$)	No. of Activities	Budget (US\$)
1 Foresight Modeling	7	1,979,950	1,459,941	12	4,038,629	3,575,667	12	4,661,061
2 Science Policy and Incentives for Innovation	1	153,788	61,973	1	83,768	94,229	1	350,000
3 Adoption of Technology and Sustainable Intensification	9	2,064,843	1,300,346	14	4,705,915	4,265,254	8	2,663,890
4 Policy and Public Expenditure	15	3,194,324	2,056,727	19	4,313,724	4,167,003	15	4,758,244
5 Value Chains	17	5,461,631	3,080,537	20	6,327,774	5,545,731	18	4,802,100
6 Social Protection	3	1,374,920	863,206	3	2,167,008	2,106,950	3	1,987,274
7 Natural Resource Property Regimes	9	1,718,619	1,351,199	12	1,886,445	1,776,801	9	1,704,606
8 Cross-cutting: Gender, Partnerships, and Capacity Building	4	235,469	187,473	5	1,176,411	748,124	6	1,161,959
Total	65	16,183,544	10,361,401	86	24,699,673	22,279,760	72	22,089,134

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Table 6: Allocation of W1-2 Resources among Centers, 2012–2014

Center	2012				2013		2014	
	No. of Activities	Budget (US\$)	Expenditures (US\$)	No. of Activities	Budget (US\$)	Expenditures (US\$)	No. of Activities	Budget (US\$)
Bioversity	4	970,000	970,000	5	1,090,000	1,118,080	5	866,563
CIAT	3	771,339	716,557	3	955,217	979,780	4	850,000
CIMMYT		0	0	1	300,000	300,000	1	350,000
CIP	2	790,000	692,470	2	864,589	881,028	2	765,000
ICARDA	1	48,300	15,600	3	430,000	0	2	350,000
ICRAF	5	1,078,838	646,646	5	1,153,252	1,023,266	5	1,000,000
ICRISAT	10	1,704,619	1,588,573	9	1,679,276	1,606,560	7	1,350,000
IFPRI	31	7,823,694	4,004,416	49	15,138,736	13,763,411	37	13,707,571
IITA	2	626,754	527,000	2	643,607	665,000	2	600,000
ILRI	6	2,230,000	1,130,432	5	2,119,996	1,658,354	4	1,700,000
IWMI		0	0			0	1	200,000
WorldFish	1	140,000	69,707	2	325,000	284,282	2	350,000
Total	65	16,183,544	10,361,401	86	24,699,673	22,279,760	72	22,089,134

PIM Proposal for the Extension Period, 2015–2016

The PIM Management Unit submitted its proposal for the two-year extension period (starting January 1, 2015) to the Consortium Office on April 25, 2014. The proposal aims to enhance the focus of the program on specific threats of policy and institutional origin to achieving the goals of the CGIAR:

- Misallocation of resources invested in research and technological discovery; missed opportunities to realize high returns to investment
- Regulatory, legal, and social barriers to wide adoption of promising technologies
- National policies that discriminate against agriculture and/or impede trade, and low levels of public spending on agriculture
- Poorly functioning value chains, with exclusion of poor and marginalized groups
- Vulnerability of disadvantaged groups due to lack of mechanisms for social protection
- Poorly defined property rights and mismanagement of common property

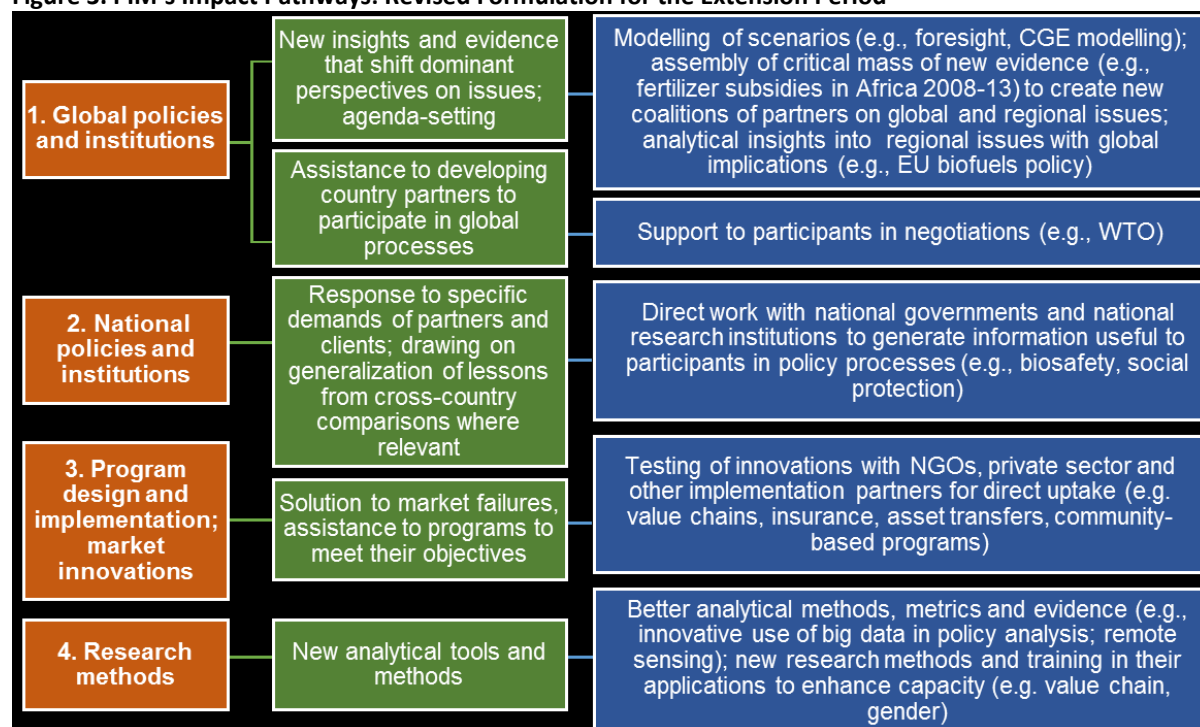
The principal proposed changes are a restructuring of the program from seven to five flagships (Table 7), and a revised presentation of the main impact pathways of PIM research. The program proposes to merge the former Flagships 1, 2, and 3 into a new Flagship 1 called “Technological innovation and sustainable intensification,” thereby bringing together the program’s work on global and regional foresight modeling, science policy and incentives for innovation, and technology adoption and sustainable intensification under one flagship. Generally speaking, what was previously Flagship 4 now becomes Flagship 2, and so on.

The proposal now envisages PIM’s work as achieving impact through one of four pathways through working with (a) global partners at the global levels, (b) national partners at the national level, (c) a range of partners to overcome bottlenecks and identify solutions to missing markets and poorly functioning institutions at the national and subnational levels, and (d) by improving research methods (Figure 3). The principal change from the previous formulation in Figure 1 is the greater emphasis on achieving impact through work at the global level such as PIM’s work on foresight modeling and PIM’s support of developing countries participating in the WTO negotiations.

Table 7: Proposed Restructuring of PIM for the Extension Period, 2015–2016

2014 Flagship Structure		Proposed 2015–2016 Flagship Structure	
1	Foresight Modeling	1	Technological Innovation and Sustainable Intensification
2	Science Policy and Incentives for Innovation		
3	Adoption of Technology and Sustainable Intensification		
4	Policy and Public Expenditure	2	Agricultural Growth and Transformation at the National Level
5	Value Chains	3	Inclusive Value Chains and Efficient Trade
6	Social Protection	4	Improved Social Protection for Vulnerable Populations
7	Natural Resource Property Regimes	5	Property Right Regimes for Management of Natural Resources and Assets
Cross-cutting: Gender, Partnerships, and Capacity Strengthening		Cross-Cutting: Gender, Partnerships, and Capacity Building	

Figure 3. PIM's Impact Pathways: Revised Formulation for the Extension Period



Purpose and Scope of the Evaluation

The principal purposes of the evaluation are:

- a) To assist program management, its funders and partners in making decisions with respect to the continuation, expansion, and structuring of the program during the extension phase of 2015–16;
- b) To support the development and later on the appraisal of the proposal for call of the Fund Council for the second round of CRPs in 2016; and
- c) To contribute to the next System-Wide Evaluation of the CGIAR, tentatively scheduled for 2017.

The evaluation will cover two main time frames:

- The time period since PIM was approved in December 2011 and during which PIM has been set up as a multi-partner CRP with newly defined objectives, program structure, and impact pathways.
- The outputs, outcomes, and impacts of legacy research activities that began prior to the establishment of PIM and that now form part of the overall PIM program.

The evaluation of the first time frame will be primarily **formative** in nature — reviewing program design and processes, progress made so far towards results, gender mainstreaming, governance and partnership aspects as well as other innovative modalities of work introduced with the CGIAR Reform. The evaluation of the second time frame will be primarily **summative** in nature — drawing on existing studies, impact assessments, and other information to assess the achievements of research that started before and continues since PIM was established.

The evaluation will address four overarching issues relating to the CGIAR reform principles and the value added of PIM that have emerged from the initial desk review of PIM documentation and interviews with CGIAR staff managing and involved with PIM:

To what extent is PIM supporting research activities with clear and coherent objectives that are responding to global, regional, and country development challenges?

- (1) To what extent is PIM creating opportunities for researchers to engage in relevant and effective collaborations among CGIAR Centers?
- (2) To what extent is PIM fostering strong and innovative partnerships for positive development impacts?
- (3) To what extent is PIM characterized by streamlined and efficient governance and management, with clear accountability?

The evaluation issues and questions (to be discussed in the next chapter) are structured around two dimensions: the research/programmatic performance and the organizational performance of the program. “Research performance” is understood to comprise the IEA standards criteria of relevance, effectiveness, impacts and likely sustainability of the research, capacity strengthening and gender-specific activities of the program as well as the scientific quality of the research being conducted, and

the relevance and effectiveness of the research and other partnerships in contributing the outputs, outcomes, and impacts of the program. These will be assessed starting at the level of individual research activities. Then the assessments will be aggregated and synthesized for each Flagship and for the program as a whole.

“Organizational performance” refers to the proficiency of the program’s governance and management structures, functions, and processes in facilitating the achievement of the program’s objectives in an efficient and transparent manner. Thus, this evaluation, like other evaluations of global partnership programs, goes beyond the OECD/DAC principles for development evaluation to include an assessment of the governance and management of the program.⁷

The evaluation will cover the following major areas:

- The relevance of the objectives and design of PIM activities in relation to the program’s Intermediate Development Outcomes (IDOs)? How well have PIM components been articulated into a strategic and coherent program that is more than a “portfolio” of activities?
- The relevance of the objectives of PIM activities in relation to the needs and priorities of users and beneficiaries, and the comparative advantage of PIM, IFPRI, and the participating Centers in the global agricultural research system.
- The effectiveness of PIM activities that have received W1-2 funding, taking into account their maturity. What has been the progress towards outputs of the new activities and the outcomes and impacts of the legacy activities?
- The relevance and effectiveness of PIM’s gender strategy, its approach to partnerships, and its capacity strengthening activities. What progress is the program making in mainstreaming gender issues throughout the program, in utilizing partnerships for development impact, and in strengthening their capacity?
- The organizational performance of PIM during its first three years of operation. How well are the program’s governance and management structures, functions, and processes performing in facilitating the achievement of the program’s objectives in an efficient and transparent manner?

⁷. See IEG/DAC 2007, *Sourcebook for Evaluating Global and Regional Partnership Programs (GRPPs)*, for the application of OECD/DAC evaluation criteria to evaluating GRPPs, and for approaches to assessing governance and management.

Evaluation Issues and Questions

As indicated in the previous chapter, the evaluation issues and questions are structured around two major dimensions: (a) research/programmatic performance and (b) organizational performance. This chapter provides an overview of the evaluation issues and questions under these two dimensions. Annexes B and C provide a more extensive list of evaluation questions along with the data collection and analysis that will be undertaken to address these questions.

Research/Programmatic Performance

Relevance

Relevance is the extent to which the objectives and design of a development intervention are consistent with current global and national priorities and policies, as well as those of intended beneficiaries, partners and donors. For the CGIAR System, it also refers to the extent to which a program is consistent with the goals, the System Level Outcomes (SLOs) as articulated in the Strategy and Results Framework (SRF), the comparative advantage and reform agenda of the CGIAR, and the extent to which the program's activities are consistent with the objectives of the program and its Intermediate Development Outcomes (IDOs).⁸

The evaluation will assess four dimensions of relevance, as follows:

- a) **Supply-side relevance and design** — The extent to which PIM's objectives, strategies, and impact pathways are coherent and consistent with the SLOs and the program's IDOs? How realistic and plausible are the articulated impact pathways, including their underlying assumptions?
- b) **Demand-side relevance** — The extent to which PIM's objectives, strategies, and impact pathways are consistent with the needs and priorities of intermediary users and ultimate beneficiaries of PIM's activities.
- c) **Comparative advantage** — The extent to which PIM, IFPRI, and the other participating Centers are playing up to their comparative advantages in the global agricultural policy research system.
- d) **Value added** — The extent to which PIM is furthering the six reform principles of the CGIAR as articulated in the CRP2 Performance Implementation Agreement?

Supply-side relevance and the design of the program are assessed against the SRF, since PIM and the other CRPs are the principal modality for implementing the SRF. The evaluation will seek to understand and assess the realism and the plausibility of the essential theories of change of the program and its Flagships. How well have these been articulated in the final proposal to the Consortium Board in October 2011 and in subsequent program documents? Do these distinguish the long-term goals to which the program is contributing from the short-term outputs and outcomes for which the program is directly accountable? Has the program adequately identified the events and conditions that may affect achieving the outcomes, and the assumptions that the program is making about causes and effects? To

⁸. See the IEA "Glossary of Evaluation Terms".

what extent is there a common understanding among the program's major partners of the long-term goals, how these will be reached, and what will be used to measure progress along the way?

On the demand side, the intermediary users of PIM's activities are generally policy makers and implementers, including organizations that support or influence policy such as the World Bank, donors, international and national think tanks, and civil society organizations. Even policy makers that are scientifically literate are more likely to utilize research results which reflect an appreciation of their political motivations and of their constraints to using research, and which will benefit their political constituencies. The ultimate beneficiaries of PIM's activities are typically farmers, consumers, and other actors along the various agricultural value chains.

With respect to comparative advantage, the CGIAR in general and PIM in particular represent a small, but important part of the global agricultural policy research system. How does PIM perceive its role and comparative advantage in the global agricultural research system? What gaps is it trying to address? To what extent is the program competing with other programs or entities that are conducting similar types of research, and how is PIM performing in relation to these other suppliers?

In its final proposal to the Consortium Board in October 2011, the program has asserted that the comparative advantage of the CGIAR in terms of working on issues related to policies, institutions, and markets in developing countries is based on

- the CGIAR's specific mandate related to the intersection of food security, poverty, and sustainable agriculture;
- its focus on research-based capacity building in the public, private, civil society, and academic sectors;
- its institutional and political independence;
- its scale (large enough to generate an intellectual critical mass;)
- its flexibility (nimble enough to adjust to emerging needs);
- its recognized research capabilities;
- its large network for data collection in developing countries.⁹

As already indicated, the value added of PIM in relation to the CGIAR reform principles is an overarching question the answer to which will draw upon all the analysis and findings of the evaluation.

Partnerships

Partnerships are an important component of the program's impact pathways, both for producing research outputs and for contributing to policy and other outcomes. The evaluation will assess the relevance and effectiveness of PIM's partnership in relation to the approach taken to partnerships in the program's statement on partnerships.¹⁰

⁹ Policies, Institutions, and Markets to Strengthen Food Security and Incomes for the Rural Poor, "A Revised Proposal Submitted to the CGIAR Consortium Board," October 2011, p. 8. The 2009 Stripe Review of Social Sciences in the CGIAR, pp. 15-16, has articulated a similar vision of the CGIAR's comparative advantage with respect to social science research.

¹⁰ Policies, Institutions and Markets, "Statement of Partnerships," October 2012.

The program has identified four types of partners in its statement on partnerships:

- **Research partners**, who participate in the design and conduct of PIM's research program;
- **Implementation partners**, who are active in applying research results in policy dialogue or in the design and implementation of investment programs;
- **Outreach and communication partners**, who help to store and transmit knowledge to their own constituencies and to the broader public.
- **Funding partners**, who are donors that invest in and support PIM's work

The program acknowledges in its statement on partnerships that the CGIAR System has historically put less emphasis on developing implementation and outreach partnerships than research partnerships, including in relation to policy-oriented research. Outreach and communications have been primarily oriented toward a professional audience, peer-reviewed publications, and web postings. The System has underinvested in partnerships in the policy process and in communication of research findings to a wide audience.

Given the increased focus on impact and results, PIM's partnership strategy has taken a different approach to developing and managing partnerships for policy-related work, which is grounded in (a) the types of products that PIM produces, and (b) the most effective role of partnerships in each type of work. The evaluation will undertake a formative assessment of PIM's partnership strategy, as summarized immediately below.

As indicated in chapter 2 above, PIM has three main product lines:

- (1) Evidence-based research that aims to set agendas, clarify trends and identify issues requiring attention of the global community;
- (2) New tools, metrics, models, data, and knowledge that could be used in program and policy decision-making processes for governments, NGOs, private sector, and academicians;
- (3) Location-specific analysis that may be relevant to policy decisions in specific jurisdictions results from these analyses synthesized for global public goods.

In the first product line, partners who can influence public opinion are very important. According to the partnership strategy, partnerships for impact in the second product line will focus on research partners and the professional community, who can provide regular feedback on the usefulness of the tools and models. The design of research activities in the third product line will identify relevant implementation partners at an early stage and ensure that the work undertaken is useful to them. The identification of the most appropriate partners will flow from the analysis of the policy issue in question and the most probable agents of change.

Quality of Science

The evaluation will assess the scientific quality of PIM's research in both the narrow and the wider sense. In the **narrow** sense, the evaluation will look at the extent to which the conditions and incentives are present for high quality scientific output: What internal processes and staff incentives does the program have in place to ensure high quality research? What is the quality of the team leaders, research staff, facilities, resources, and other inputs into the research process? Are the scientific staff sufficiently

qualified, enabled, and motivated, and supported by adequate technical and other resources? What has been the quality of their research outputs?

In the **wider** sense, the quality of science is the first step along the impact pathway towards program effectiveness. To what extent have the choices of research topics and research designs been prioritized in relation to the overall objectives of PIM? To what extent do these reflect a high quality in scientific thinking, state-of-the art knowledge of the scientific literature, and novelty in research approaches? How has the program identified the problems to be addressed, the existing gaps in the research literature, and appropriate approaches to addressing the problems and/or gaps?

Effectiveness

Effectiveness refers to the extent to which the objectives of a program/project have been achieved, or are expected to be achieved, taking into account the exploratory nature and risks inherent to research. Assessing the effectiveness of research activities is a particular challenge since research is an upstream activity that may be far removed from the SLOs of reducing rural poverty, increasing food security, improving nutrition and health, and more sustainable management of natural resources. Research may contribute only indirectly to domestic policy and institutional reforms, to the strengthening of human resource capacities, and to the physical investments in the agricultural sector that are necessary to achieve the SLOs.

As explained in greater detail in the next chapter on methodology, the evaluation will assess effectiveness by systematically reviewing the progress of the program's activities (outputs) in relation to plans and the extent to which these outputs are contributing to the achievement of each activity's objectives (outcomes), in accordance with its theory of change. The evaluation will have a particular focus on the effectiveness of the legacy activities that are receiving W1-2 funding from PIM (as well as the bilaterally funded activities that are closely linked to them).

The evaluation will also seek to infer lessons from the results of these legacy activities. What factors are influencing the achievement or non-achievement of these activities? How have the activities' objectives and strategies evolved, if they have, in response to (a) learning from experience, and (b) emerging risks and opportunities? Are there any activities that should be modified, discontinued, or added to the current portfolio in order to achieve the program's overall objectives?

Impacts and Likely Sustainability

Impacts refer to the positive and negative, primary and secondary long-term effects resulting from a chain of events to which research has contributed, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

This evaluation will not be undertaking detailed impact assessments of individual activities or clusters of activities as this term is understood in the CGIAR as ex post studies that use specialized quantitative methods to estimate the changes in which selected development parameters are attributable to defined research activities or programs. Such studies require dedicated budgets and timeframes that this evaluation does not have. However, IFPRI and the other participating Centers have a history of commissioning impact assessments of clusters of their activities, and the evaluation will conduct a systematic review of the quality and findings of these studies. Have these impact assessments yielded lessons regarding constraints to achieving impacts, and have these been taken into account in designing

PIM activities? As explained in the next chapter, each of the Flagship Leaders will be asked to prepare a self-assessment of the impacts of the activities that are mapped to their Flagships, which the evaluation will review and validate.

The evaluation will also investigate the role of IFPRI's Country Strategy Support Programs (CSSPs) in achieving outcomes and impacts. To what extent is research being conducted in CSSP countries having greater or more immediate impacts than in other countries? And to what extent are PIM activities, particularly those in CSSP countries, translating country-level research results into global public knowledge to benefit other countries facing similar challenges?

It is too early in the life of PIM to assess the sustainability of the benefits arising from its activities. But it is not too early to ask what is the program's implicit theory of sustainability — the way in which the program expects the benefits of its activities to be sustained in the future after the activities have been completed. What roles do other actors play in this process? What activities is the program undertaking today — such as strengthening the institutional and human resource capacity of beneficiary countries — to enhance the sustainability of the benefits arising from its work?

Cross-Cutting Issues: Gender and Capacity Strengthening

Gender. There is wide recognition that reducing gender disparities in the access, control, and use over agricultural assets, production, and incomes is a critical issue in agriculture and rural development (GCARD 2010, FAO 2011, World Bank 2012). Involving women in natural resource management, in formal and informal markets, and in policy-making processes can enhance environmental sustainability, women's incomes, and public expenditure allocations that favor investments in social infrastructure such as water supply and schools. As indicated in chapter 2, PIM has an explicit gender strategy that was approved by the CGIAR Consortium in March 2013, and has established gender-specific IDOs for each of the seven Flagships.

PIM's gender strategy includes some gender-specific research activities such as the Gender, Agriculture and Assets Project (GAAP), the Women's Empowerment in Agriculture Index (WEAI), and the Sex-Disaggregated Data initiative that are intended to create and apply new tools and methods to clarify how gender enters into the pursuit of the SLOs, and ultimately to develop concepts and methods with broad application throughout the CGIAR System. In addition, the strategy seeks to mainstream gender-consciousness throughout PIM's portfolio of activities by making gender issues explicit in evidence-based research on policy options and processes. The strategy also proposes to develop a monitoring and evaluation system to track progress towards gender-responsive objectives.

The evaluation will conduct an assessment of PIM's gender-specific activities, its efforts to mainstream gender issues through its portfolio, and the implementation of its gender monitoring and evaluation system. To what extent is gender analysis being incorporated into research designs in terms of relevance to and effects on women? Have gender issues been adequately considered in the formulating the impact pathways across the program's Flagships, in terms of the differential roles of women and men along each impact pathway generating equitable benefits for both women and men and enhancing the likelihood of improved livelihoods of women? Are the research strategies and modalities of implementation for each activity appropriate for the program's objectives on gender and likely to enhance the sustainability of results to remove gender disparities? What accountability mechanisms are actually in place and being implemented to manage, monitor, and report on the gender dimensions of the program's activities?

Capacity Strengthening. Capacity strengthening is another important component of PIM's impact pathways, "to enhance the capacity of partners to translate research results into on-the-ground activities."¹¹ The final proposal submitted to the Consortium Board in October 2011 envisaged two broad sets of capacity strengthening activities across the entire PIM portfolio:

- **Capacity strengthening through collaborative research partnerships.** This would focus on sharing research methods and results with key partners based on shared goals, research collaboration, and mutual accountability.
- **Production of global public goods for long-term capacity strengthening.** This would focus on the production of a set of global public goods that partner institutions could effectively use to build local capacity and enhance the use of research methods, tools, and results generated by PIM. Strategic linkages with educational, research, and professional networks would also promote the replication of research methods developed by PIM.

The program has not yet updated these approaches in the form of a capacity strengthening strategy, unlike the partnership strategy and the gender strategy, for example. However, the program's report, "The First Eighteen Months," asserted that PIM builds capacity in several ways: "by establishing research teams that include both senior and junior staff from a range of institutions; by developing tools and methods, and training people to use them; and through outreach activities including conferences, workshops, and symposia as well as publications and interviews. Many of the research project involve graduate students from the developing world."¹²

The evaluation will conduct a formative assessment of the extent and nature of the program's capacity strengthening activities across its portfolio in the light of these stated approaches. The assessment will focus on the relevance and effectiveness of these approaches to capacity strengthening, and draw lessons from its findings.

Organizational Performance

Governance and Management

Governance and management are both a means and an end. Both how and whether a program achieves its objectives are important. Following the methodology of the recently completed Review of the CGIAR Research Programs Governance and Management issued by the IEA in March 2014, the evaluation will undertake a formative assessment of several dimensions of PIM's governance and management:

- Legitimacy
- Efficiency of governance
- Accountability
- Transparency
- Fairness

¹¹. Policies, Institutions, and Markets to Strengthen Food Security and Incomes for the Rural Poor, "A Revised Proposal Submitted to the CGIAR Consortium Board," October 2011, p. 12 and pp. 135–138.

¹². Policies, Institutions, and Markets, "The First Eighteen Months," p. 27

The evaluation will compare its findings with the more general findings of the IEA Review of CRPs' Governance and Management and the applicability of the latter to the performance of PIM.

The evaluation will also investigate issues that have emerged from the initial desk review of PIM documentation and interviews with CGIAR staff, namely, the management of conflicts of interests and the host relationship between IFPRI and PIM.

Real and perceived conflicts of interests are an inherent and essentially unavoidable feature of global partnership programs, deriving primarily from the multiple roles that the principal partners (in this case, IFPRI) play in a given program. Given their pervasiveness, the key is to identify and manage these conflicts of interest transparently.

One of the inherent conflicts of interests is that PIM, like the other CRPs, is located in a lead Center, in this case IFPRI. Such a hosting arrangement is a common feature of global partnerships — because the benefits of being located in an existing organization generally outweigh the costs, particularly for small programs. Benefits include the many systems and support services provided by the host organization, including human resource systems, recruitment, financial management, procurement, communications, legal support, access to information and knowledge databases, and, in the case of international organizations, the privileges and immunities associated with employment. Three principal costs have been (a) the need to transparently identify and manage the conflicts of interest associated with host arrangements, (b) the “two masters” problem, in which the program manager reports both to the governing body of the program and to the line management in the host organization, and (c) the threat of “organizational capture” by the host organization. The evaluation will assess what aspects of the IFPRI-PIM hosting arrangement are working well, and what aspects could be improved.

Efficiency or Cost-Effectiveness

Efficiency is the extent to which the program has converted or is expected to convert its resources/inputs (such as funds, expertise, time, etc.) economically into results. In the research context, the assessment of efficiency refers to the activities and outputs that are under the control of the research program, and takes into account the exploratory nature and risks inherent to research. **Cost-effectiveness** is the extent to which the program has achieved or is expected to achieve its results at a lower cost compared with alternatives. Shortcomings in cost-effectiveness occur when the program is not the least-cost alternative or approach to achieving the same or similar outputs, outcomes and impacts.

It is not realistic to assess the efficiency of the PIM program as a whole, since this would involve assigning a monetary value to the benefits arising from its activities and comparing these with the costs of the program. Coming up with a monetary quantification of the program's outputs and outcomes is not realistic both because the program is new and because it is conducting social scientific research whose benefits are not readily quantifiable. Therefore, the evaluation will generally focus on assessing the program's cost-effectiveness, which takes the benefits arising from the program's activities as a given and asks whether these could have been produced at a lower cost compared with alternatives.

The evaluation will undertake a formative assessment of several dimensions of the cost-effectiveness, as follows:

- Sources and uses of funds

- Financial management, budgeting, reporting, and compliance
- Resource mobilization
- Resource allocation
- Administrative costs
- Earmarked funding

The evaluation will also point out any areas of obviously inefficient use of resources that it comes across.

The evaluation will include a clear presentation and analysis of both the **sources and the uses of funds** on a fiscal year basis. This will include all the sources of funds for the research activities mapped to PIM and will categorize the uses of funds in a number of different ways such as the type and scope of activity (global, regional, or national), the responsible Center, and activity vs. administrative costs. Who have been the principal donors? To what extent have funds been restricted or ear-marked for particular activities?

Financial management, budgeting, reporting, and compliance refers to all the processes that govern the recording and use of funds. How realistic has been the program's budgeting? Do the reported categories of expenditures in the annual reports facilitate adequate monitoring and reporting of costs to activities and results? What has been the compliance with legal requirements and System-level obligations? High quality financial management is important in its own right; the quality of financial management and reporting will also affect the type of cost-effectiveness analysis that is possible and the ability of the program to mobilize resources in the future. Accountability for the final use of funds in a strict legal sense, however, is normally done through the formal audit process, and is beyond the scope of this evaluation.

Resource mobilization. This includes the processes of (a) formulating the resource mobilization strategy, (b) managing the peculiarities of responding to diverse donor funding cycles, (c) committing and allocating funds, and (d) financial reporting, as good financial reporting to donors can have a significant effect on mobilizing resources. Does PIM have clear and realistic plans for mobilizing resources to meet its targets and needs? To what extent has its strategy been effective, and how might it be improved? The effectiveness of a program's resource mobilization strategy is an aspect of cost-effectiveness since PIM is financed through grants, with little or no capacity to generate revenues from its own activities.

Resource allocation. The evaluation will analyze the cost-effectiveness of the processes and the criteria by which the program has allocated its W1-2 resources to date. How well has this been working in terms of (a) acceptable transactions costs, (b) channeling resources to activities that are well-aligned with the program, (c) integrating the activities funded from different sources into a unified program of activities, and (d) achieving other objectives of the program such as facilitating greater inter-Center collaboration? How best to allocate resources across product lines and countries in a priority fashion has proven to be a challenge for many global partnership programs.

Administrative costs. This refers both to the administrative costs of managing the program and the administrative (overhead) costs of individual research activities. What issues have arisen during the first three years of the program in relation to administrative costs and how are these being addressed? It may not be possible to make direct comparisons of administrative costs with other programs. Such

comparisons are difficult for several reasons: (a) the way in which programs record administrative costs, (b) the size and maturity of different programs, (c) the types of activities undertaken, (d) the way in which different programs work with implementing partners, covering all or only a portion of each activity's costs.

Earmarking. The evaluation will analyze the implications of core vs. earmarked funding for the cost-effectiveness of the program. What have been the shares of unrestricted (W1-2) funding and restricted (bilateral/W3) funding, and what effects have these relative shares had on the cost-effectiveness of the program in achieving its objectives to date? How are the different sources of funds affecting the scope, the reach, and the results that the program is achieving?

Monitoring, Reporting and Learning

The establishment of an operational monitoring and reporting system for PIM is currently a work in progress at both the System and the CRP levels. Therefore, the evaluation will conduct a formative assessment of the progress that has been made to date in the context of directives issued from the Consortium Office. The evaluation will assess the extent to which the program has put in place, or plans to put in place (a) measurable indicators that meet the monitoring and reporting needs of program governance and management, (b) systematic and regular processes for collecting and managing data, and (c) feedback loops from monitoring and evaluation to decision-making. These steps are necessary both to make PIM's impact pathways operational and to achieve the three main purposes of monitoring and evaluation systems in general:

- To assess the progress in implementing individual activities;
- To facilitate a cumulative assessment of the program's performance in achieving its objectives; and
- To enhance policy dialogue by identifying issues that require policy responses and other solutions beyond the scope of individual program activities.

Effective oversight of the program and accountability in the use of resources requires good reporting on a regular basis that is also reasonable under the circumstances. The evaluation will assess the quality of the program's reporting in relation to the reporting requirements of IFPRI (the host Center) and the Consortium Office, as well as the reasonableness and adequacy of these requirements.

Beyond monitoring and reporting, the final proposal submitted to the Consortium Board in October 2011 included both a data and knowledge management strategy and communications strategy to enhance learning, among other things. The program aimed to develop an integrated data and knowledge management platform to help "reduce research costs, enrich analytical opportunities for PIM research partners, and deliver a major international public good in the form of an open-access data portal, which would foster broad opportunities for innovation beyond [PIM] by both the public and the private sectors."¹³

The program also proposed to put in place a state-of-the-art communications strategy "to spread the word about the program's progress and findings through a wide range of traditional and new media,

¹³. Policies, Institutions, and Markets to Strengthen Food Security and Incomes for the Rural Poor, "A Revised Proposal Submitted to the CGIAR Consortium Board," October 2011, p. 123.

including scholarly papers, policy reports and briefs, print and broadcast journalism, websites, social media, and videos, as well as through presentations at workshops and conferences. These communications efforts would be designed to help forge close ties with local collaborators and key policymakers, increase opportunities for hands-on research in the field, and promote seamless collaboration among CGIAR centers and partners—all of which will lead to enhanced dissemination and impact of research results.”¹⁴

The evaluation will assess the progress that the program has made in operationalizing these ambitious knowledge management and communications strategies.

¹⁴. Ibid, p. 16.

Evaluation Approach and Methodology

The evaluation will seek both breadth and depth in its data collection and analysis. It will gather and analyze information across the portfolio of activities mapped to PIM to provide breadth, and undertake in-depth analysis of selected case studies to provide depth. Annex B relates in matrix form each of the data collection and analytical activities discussed in this chapter to the evaluation issues and questions presented in the previous chapter.

As indicated in Chapter 2, there are four types of activities mapped to PIM from the funding point of view:

- New activities that have started with W1-2 funding since PIM was approved in December 2011, some being led by IFPRI and others by other Centers
- Legacy activities that are natural continuation of activities that were started before PIM was established and that are receiving W1-2 funding, being led by IFPRI and other Centers.
- Other new and legacy activities, funded from W3 and bilateral sources, that are closely linked to those funded by W1-2 funds.
- Other new and legacy activities, funded from W3 and bilateral sources, that are not closely linked to those funded by W1-2 funds.

The portfolio analysis across the breadth of the program will be more extensive for the first two categories of activities — those funded primarily from W1-2 sources — since these have been accepted into PIM as a result of the call for proposals and review by the Management Committee (described in section 2). That for the third and fourth categories will be less extensive because they are not receiving W1-2 funding and because information about these activities does not exist in a standard format in a program database. Such information primarily takes the form of agreements between the Centers leading each activity and the donors funding these activities, which information has to be collected from each of the participating Centers.

Nonetheless, the evaluation will conduct a systematic review the extent of strategic, operational and financial linkages of W3/bilaterally funded activities with W1-2 funded activities, according to the following definitions:

- **Strategic** => The objectives of the bilateral activity are aligned with a specific W1-2 activity, but there is no operational or financial relationship between the two activities.
- **Operational** => The research staff associated with the bilateral and W1-2 activities are shared or working together to achieve common objectives, but there is no financial relationship between the two activities.
- **Financial** => The bilateral and W1-2 funds are being pooled or blended to support what is essentially the same research exercise.

The categories represent increasing degree with “strategic” being the least amount of linkage — while the objectives are aligned, there are no operational or financial linkages — and “financial” representing the highest degree of linkage, including both strategic and operational. The existence of such linkages is important for the integrity and coherence of the overall program. In its “Proposal for Extension Period: 2015–2016,” the program has asserted one of its three principal added values is its ability “to leverage

bilaterally funded work of its lead Center, and more fully apply this work to the broader efforts of the CGIAR as a whole.”¹⁵

The in-depth analysis will involve case studies of a sample of the 39 activities in the second category above since these activities have been accepted into PIM, and have been ongoing for a sufficient period of time to produce outputs and outcomes (Table 8). The in-depth case studies will also review in greater detail their strategic, operational, and financial linkages with W3/bilaterally funded activities.

¹⁵. PIM, “Proposal for Extension Period: 2015–2016”, p. 1. Submitted to the CGIAR Consortium Office by the PIM Management Unit on April 25, 2014.

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Table 8: Share of Legacy and New Activities That Are Primarily Funded by W1-2 Funds, by Flagship

Flagship	Legacy ^a	New ^b	To Be Determined	Dis-continued	Total
Foresight Modeling	9	4	0	0	13
Science Policy and Incentives for Innovation	0	1	0	0	1
Adoption of Technology and Sustainable Intensification	8	7	0	1	16
Policy and Public Expenditure	7	13	0	4	24
Value Chains	6	12	3	0	21
Social Protection	2	1	0	0	3
Natural Resource Property Regimes	7	6	0	1	14
Cross-Cutting: Gender, Partnerships and Capacity Building	0	7	0	0	7
PIM Management Unit	0	3	0	0	3
Total	39	54	3	6	102

Source: PIM Management Unit and Flagship/Cluster Leaders

a. Legacy activities are a natural continuation of activities that were started before PIM was established and that now receive W1-2 funds. Fourteen of these are being led by IFPRI and 22 by other Centers.

b. New activities are not a natural continuation of activities that were ongoing when PIM was established.

Data Collection

The evaluation will gather the following data and information.

Basic Information on Activities Mapped to PIM

The evaluation will collect the following information on the activities that are primarily funded by W1-2 funds, and a subset of this information for the other activities (primarily funded by W3 and bilateral funds). The precise subset for the latter is still to be determined. This will contribute, among other things, to the portfolio and the matching analysis discussed below.

- Start date – the actual start date (prior to the establishment of PIM) for the legacy activities, whatever the primary source of funding.
- PIM Flagship and cluster
- Type of activity (research, models and tools, location-specific analysis, capacity building).¹⁶
- Type of research: blue sky, strategic, applied, adaptive, scaling up, or technology transfer.
- Scope of activity (global, multi-regional, regional, and country-level); and name of region(s), country(ies), if applicable
- Initial proposal that was approved for W1-2 funding, its objectives, design, impact pathways and theories of change.
- Initial budget and actual expenditures (annually) to date
- Source of funds: W1-2, W3, and bilateral¹⁷
- Principle investigator and other research staff
- Location of the lead researcher (which CG Center and IFPRI Division, if applicable)
- Partners (research, implementing, outreach, and donor partners).
- Gender aspects, if any
- Current status (e.g. concept, approved, active, closed)
- Progress reports, if any
- Outputs delivered (e.g. concept notes, papers, reports, books, book chapters, datasets, databases, models, maps, methodology document, presentations, e-information outputs)¹⁸
- Outcomes and impacts identified, if any.
- Evaluations and impact assessments, if any.

Given that research activities may be ongoing for many years, there is no pre-set date beyond which the evaluation will not go back. As long as an activity has been mapped to PIM since PIM was established, it will form part of the portfolio of PIM activities for the purpose of this evaluation.

¹⁶. (a) Evidence-based research that sets agendas, clarifies trends and identifies issues requiring attention of the global community; (b) New knowledge, metrics, models, data, and tools used in program and policy decision-making processes for governments, NGOs, private sector, and academicians; (c) Location-specific analysis relevant to policy decisions in specific jurisdictions results from these analyses synthesized for global public goods; (d) Capacity strengthening.

¹⁷. Calendar year 2012 was the first full year of PIM's operation. The program only has W1-2 expenditures for each activity 2012–13, and bilateral expenditures for 2013.

¹⁸. This list comes from the PIM Annual Report for 2012, p. 6.

Other Documents to Collect

The evaluation will also collect a range of other documents that will contribute to addressing the various evaluation questions, as follows.

From the CGIAR Consortium and Fund

- CGIAR Strategy and Results Framework
- Other Consortium documents relating to CRP objectives, etc.
- Consortium directives and guidelines with respect to CRPs (e.g. relating to use of W1–2 funds, gender, monitoring and evaluation, and intermediate development outcomes (IDOs))
- Consortium Board minutes relating to CRPs and PIM
- Contract between the Fund Office and the Consortium Office regarding PIM

From the PIM Program

- The initial and revised PIM proposals submitted to the Consortium Office, along with comments from reviewers (CO and ISPC)
- Annual PIM Reports (2012, “The First Eighteen Months,” and 2013)
- TORs of the Science and Policy Advisory Panel (SPAP), Management Committee, PIM Management Unit
- TORs of Flagship Leaders, Cluster Leaders, and Focal Points
- Criteria and processes for allocating W1-2 resources in 2012, 2013, and 2014
- Minutes of the SPAP and the Management Committee
- PIM strategies (such as the partnership and gender strategies)
- Other PIM strategies, policies and procedures (if any)
- Publications arising from activities mapped to PIM (not covered above)
- Publication lists of the principal investigators of activities mapped to PIM.

From IFPRI

- Contract between Consortium Office and IFPRI regarding PIM
- Contract between IFPRI and participating Centers regarding PIM
- IFPRI Strategy 2013–2018
- Global Food Policy Reports, 2011, 2012, 2013
- Impact Assessments of activities led by IFPRI and now mapped to PIM

From Other CGIAR Centers

- Documents relating to PIM
- Documents recommended by Center management and staff interviewed
- Impact studies of activities led by participating Centers and now mapped to PIM

Structured Stakeholder Interviews

These are already ongoing and will continue through November, based on checklists of questions to be asked. Each core team member and expert panel member is responsible for identifying his/her own

interviewees, with the support of the team leader and IEA staff. This means going beyond CGIAR staff and representatives of partner organizations to professional peers who can provide independent assessments of the comparative advantage, value added, and scientific quality of CGIAR research.

The evaluation will conduct structured interviews of PIM stakeholders from among the categories enumerated in Table 9. These interviews will cover the entire range of evaluation issues and questions addressed by the evaluation. Interview templates will be developed for each category of stakeholder, which identify the context and the purpose for the interview (e.g. relevance, quality of science, effectiveness, etc.). Some will be stand-alone interviews, while others will form part of the in-depth case studies.

Table 9: Key PIM Stakeholders, by Category

Category	Stakeholder
PIM Program	PIM management
	Science and Policy Advisory Panel, and Management Committee
	PIM Flagship and Cluster Leaders
	PIM Researchers
Center Level	IFPRI management
	IFPRI Board of Trustees
	Boards and management of participating Centers
CGIAR Level	CGIAR Fund Council and Fund Office
	CGIAR Consortium Board and management
Partners	Donor partners
	Research partners
	Implementing partners
	Outreach partners
	Beneficiaries; e.g. policy-makers, private sector actors
	Other government officials engaged with PIM activities
Relevant Organizations Working in the Same Area	International organizations (FAO, WFP, IFAD, etc.)
	Large NGOs (WRI, Rights and Resources, etc.)
	Universities (IDS – Sussex, Purdue, etc.)

Staff and Partner Surveys and Focus Groups

Similar to the recently completed evaluation of the Forests, Trees, and Agroforestry (FTA) CRP, the PIM evaluation will undertake two surveys — of PIM researchers and of PIM partners. Both sets of surveys will focus primarily on the research/programmatic performance of PIM. That of PIM researchers will also include a few questions on organizational performance.

The surveys will be tested and launched after a substantial number of interviews have been conducted in order to allow for relevant and informed questions relating the question in the evaluation matrix (Annex B). Some questions will be closed-ended in order to aggregate the responses, while others will be open-ended to allow more flexible and nuanced responses. Some questions will be identical to those in the FTA surveys in order to enable comparisons between the two programs, and with 2012 CGIAR Stakeholder Perceptions Survey, commissioned by the Consortium.¹⁹

The surveys will be confidential. The responses to the closed-ended questions will be presented in aggregate form, making it impossible for readers to identify individual responses. References to particular individuals, countries, and other identifiers will be redacted from the responses to the open-ended questions, also to preserve confidentiality.

The evaluation will seek the support of PIM management and Focal Points, and the IFPRI partnership coordinator in IFPRI's Partnership, Impact, and Capacity Strengthening Unit to identify the PIM researchers and partners and their e-mail addresses. The first survey will also ask the PIM researchers to identify relevant PIM partners. All team members will also contribute, as part of the matching analysis, to the identification of research, implementation, and outreach partners — including names, organizations, and e-mail addresses — to be included in the partner survey.

The evaluation will administer the two surveys in September and the results will be discussed in focus groups of CGIAR staff at the end of October.

In-Depth Case Studies, Country, and Center Visits

The evaluation will undertake visits to 12 countries and 5 participating Centers as part of in-depth case studies of a purposive sample of 13 legacy activities (Table 10 and Annex A for more details). Although these country and Center visits have been organized around these in-depth case studies, team members will also look at the research work of PIM in general in each country, organizational performance aspects including work with other CGIAR Centers, PIM partnerships at the country level, and gender aspects.

The evaluation has generally selected these activities from among the legacy activities that are receiving W1-2 funding because these have been accepted into PIM as a result of a request for proposals, review, and resource allocation process and because they have been operational long enough to have some measurable outcomes, and maybe even some impacts. The two projects that are bilaterally funded (CAPRI and WEAI) are closely associated with projects that are receiving W1-2 funding.

The activities have been selected in consultation with the Flagship leaders for Flagships 3, 5, 7, and gender. Three of the activities in Flagship 3 focus on advisory services, and the fourth on tools for monitoring the adoption of technology. Two of the activities in Flagship 5 focus on methods and tools for value chain analysis, and two on the diagnosis of bottlenecks and design of interventions to address them. The three activities in Flagship 7 illustrate a variety of themes covered by CAPRI. The remaining two activities are gender-specific activities (GAAP and WEAI).

¹⁹. Prepared and conducted by Globescan, May 2013.

Six of the 13 activities are based in IFPRI, and seven in other Centers. Team members will visit project sites in six African countries (Ghana, Kenya, Malawi, Mozambique, Nigeria, and Uganda), three Asian countries (Bangladesh, Cambodia, and India), and three Latin American countries (Colombia, Ecuador, and Peru). Collectively, the team will be visiting five CSSP countries – Bangladesh, Ghana, Malawi, Nigeria, and Uganda.

The Expert Panel on Global Agricultural Modeling (discussed immediately below) will be covering Flagships 1 and 4. There is no in-depth case study from Flagship 2, which has only one W1-2 funded activity, which is a new activity. There is also no in-depth case study from Flagship 6 because IFPRI has commissioned its own impact assessment of its social protection work, and the evaluation team reached an agreement with IFPRI management not to duplicate the work of this impact assessment study. The one W1-2 funded activity in Flagship 6 that is not being covered by this impact assessment is also a new activity.

The in-depth case studies will focus primarily on research/programmatic performance issues and questions. A common template will guide the approach to individual case studies, facilitating comparison among them and a synthesis of their overall findings. This includes:

- Desk research to obtain the full available project documentation, information on partners, and contact information of people involved; and to conduct a preliminary analysis of that information.
- Visits to project sites and the responsible Centers to obtain live impressions of the research sites, to verify reported results and activities, and to interact with staff on the ground.
- Structured interviews of research staff and partners to understand the drivers during the concept stage, prioritization and institutional incentives; the project and/or cluster concept and localized impact pathways or theories of change; gender aspects, if any; project management and reporting lines; partnering arrangements; implementation performance; project outputs and contributions to outcomes; outreach and capacity-strengthening activities; and lessons learned.

Planning for the country and Center visits is already underway and will accelerate through July. The country and Center visits will take place from August to early November.

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Table 10: Planned Country Visits for In-Depth Case Studies of PIM Activities

Act. #	Flagship	Center	Principal Investigator	Activity Title	Countries to Visit
6	3.1	CIAT	Mark Lundy	<i>Building R4D learning platforms in Latin America, Africa and Asia</i>	Kenya, Malawi, Peru
18	3.1	ICRAF	Steven Franzel	<i>Evaluation of innovative extension approaches</i>	Kenya, Malawi, Uganda
103	3.1	IFPRI	Valerie Mueller	<i>Does agricultural training and female representation in extension foster investments among female farmers? Lessons from a policy experiment in Mozambique</i>	Mozambique
45	3.2	IFPRI	Jawoo Koo	<i>Geospatial tools to support: Mapping of the work of the CGIAR CRPs, Development of the G8 Technology Platform, and alignment of investment to support agricultural growth</i>	Malawi, Mozambique, Uganda,
15	5.1	CIP	André Devaux	<i>Adapting, consolidating and scaling out methods for equitable value chain upgrading; Added 2013: Compendium on multi-stakeholder platforms for innovation in value chain</i>	Colombia, Ecuador, Kenya, Peru
21	5.1	ICRAF	Jason Donovan	<i>Understanding the potential for addressing rural poverty through value chain development for underutilized fruits</i>	Kenya, Peru
4	5.2	Bio-versity	Dietmar Stoian	<i>Enhancing agricultural value chains of underutilized crops through improved quality assurance and coordination mechanisms across actors</i>	India, Peru
7	5.2	CIAT	Mark Lundy	<i>Building sustainable trading relationships between smallholder farmers and buyers</i>	Colombia, Kenya, Uganda
N/A	7.1	IFPRI	Ruth Meinzen-Dick	<i>Systemwide Program on Collective Action and Property Rights (CAPRI)</i>	India
89	7.1	World-Fish	Blake Ratner	<i>Engaging policy stakeholders across scales through community-based action research</i>	Cambodia
44	7.3	IFPRI	Hosaena Ghebru Hagos	<i>Land tenure security and land policy in selected African countries</i>	Ghana, Nigeria
73	7.5	IFPRI	Agnes Quisumbing	<i>Strengthening women's assets for better development outcomes</i>	Bangladesh, Kenya, Mozambique, Uganda
N/A	8.1	IFPRI	Ruth Meinzen-Dick	<i>Women's Empowerment in Agriculture Index</i>	Ghana, Kenya, Malawi, Uganda

Expert Panel on Global Agricultural Modeling

As a contribution to priority setting across the entire CGIAR System, Flagship 1 on “Foresight Modeling” aims to generate scenarios indicating which new agricultural technologies and practices will do the most to reduce poverty and hunger in the future, in the light of increasing stresses on global agricultural production — such as the growing competition for water and biomass resources, the increasing variability in cereal yields in sub-Saharan Africa, and slowing productivity growth in South Asia’s rice-wheat systems. PIM’s global foresight modeling activities, mostly based on the IMPACT model, seek to understand, interpret, and project the impacts of the major drivers on agricultural production and consumption systems, including population growth, rising incomes, urbanization, technical change, persistent poverty and insecurity, natural resource degradation and climate change; volatility in finance and energy markets, and the ensuring public policy responses.

Flagship 4 on “Policy and Public Expenditure” aims to help governments manage macroeconomic and sectoral policies, and direct public investments to provide appropriate incentives for producers and affordable food for consumers. Its country-level CGE modeling activities seek to understand and advise governments on the impacts of trade, price, tax, regulatory, and investment policies on the incentives and decisions of agents in the agricultural sector regarding production, marketing, processing, and investments. The program also undertakes research on the global agricultural trading system based on the MIRAGE model to assist both countries and regions in understanding the global international implications of national domestic policies in both industrialized and developing countries.

The evaluation has constituted an expert panel to review this work on global agricultural modeling based on the IMPACT model, country-level CGE modeling, and the MIRAGE model. The expert panel will conduct a portfolio analysis of all these activities that are mapped to PIM, as well as an in-depth analysis of a number of these modeling applications. This includes an analysis of the foresight work that is taking place in the other participating Centers, and going beyond foresight modeling per se to assess PIM’s foresight activities against foresight approaches in general. (See Annex C for the evaluation matrix for the expert panel.) It also includes a comparison of IFPRI’s agricultural and macroeconomic models with similar models produced by other researchers, along the lines of the recently published paper “Climate change effects on agriculture: Economic responses to biophysical shocks.”²⁰

Data Analysis

The evaluation will analyze the information that is collected from the various sources and triangulate the information and analyses to substantiate each assessment, thereby mitigating any biases that might arise from single informants or methods. The principal analyses that will be conducted are as follows.

Each of the core team members is responsible for comprehensive analysis and in-depth case studies on one or two Flagships, as follows:

- Willi Meyers (with contributions from Expert Panel members, referred to in Chapter 6 and Annex D): Flagship 1 and 4 activities relating to global agricultural modeling

²⁰. Proceedings of the National Academy of Sciences, 2013.

- Chris Gerrard: Other Flagship 1 and 4 activities, and Flagship 2
- Flora Nankhuni: Flagships 3 and 6, and gender
- John Spriggs: Flagship 5
- Krister Andersson: Flagship 7

Each core team member will prepare a background paper summarizing the major findings and lessons for his/her Flagships, based on the data collection and analysis described in this chapter, in particular, based on the matching analysis of W1-2 funded activities in their respective Flagships, and on their in-depth case studies. These background papers will follow a similar outline and will form the basis for the final evaluation report.

Each of the core team members and expert panel members is also responsible to contributing to other data collection and analysis as indicated below. Annex A provides the anticipated timing of each of the major analytical building blocks of the evaluation.

Review of Previous Evaluations/Assessments

This is the first evaluation of PIM as a program. However, some activities that are now mapped to PIM have been ongoing for some time and have been evaluated or assessed. Therefore, the evaluation will conduct a meta-review of previous evaluations and assessments of activities, or groups of activities that are mapped to PIM, with a particular emphasis on legacy activities that are receiving W1-2 funding and other activities (receiving W3 and bilateral funding) that are closely linked to these activities. The evaluation team has so far identified a number of legacy activities conducted by IFPRI and now mapped to PIM that have had impact assessments or evaluations (Table 11). The evaluation team is still in the process of identifying similar assessments and evaluations of legacy activities conducted by participating Centers and now mapped to PIM.

The evaluation will also conduct a meta-review of impact assessments, annual reports, and other documentation on IFPRI's Country Strategy Support Programs – two of which are listed in Table 11 — of the Ghana and Ethiopia programs. This will review (a) the quality of the evaluations; (b) the scope of the evaluations in terms of relevance, effectiveness, etc., and (c) the key messages from the evaluations. It will contribute to addressing the following questions in the evaluation matrix:

- How are countries hosting CSSPs benefiting from this work? To what extent is research being conducted in CSSP countries having greater or more immediate impacts than in other countries?
- To what extent are PIM activities translating country-level research results into global public knowledge of benefit to a broad array of other countries facing similar challenges? Is the concentration of effort in the CSSP countries appropriate given the trade-offs of reduced attention to other countries?

Portfolio Analysis

This will analyze the portfolio of activities mapped to PIM according to various characteristics listed in paragraph 5.7 above. This will provide an overview of the entire portfolio, identify relevant gaps in the portfolio, and discern patterns in the portfolio the significance of which will be confirmed or rejected by subsequent analysis.

Table 11: Previous Impact Assessments and Evaluations of IFPRI Activities Now Mapped to PIM

Flagship	Impact Assessments and Evaluations
1 Foresight Modeling	Channing Arndt (Team Leader) and Sherman Robinson, "Review of the IFPRI IMPACT Model," May 2010.
2 Science Policy and Incentives for Innovation	George W. Norton, "Impact assessment of the IFPRI agricultural science and technology indicators (ASTI) project," December 2010.
3 Adoption of Technology and Sustainable Intensification	
4 Policy and Public Expenditure	<p>Mitch Renkow and Roger Slade, "An Assessment of IFPRI'S Work in Ethiopia 1995–2010: Ideology, Influence, and Idiosyncrasy," June 2013.</p> <p>Mitch Renkow, Impacts of IFPRI's "Priorities for Pro-poor Public Investment" Global Research Program, October 2010.</p> <p>Joanna Hewitt, "Impact Evaluation of Research by IFPRI on Agricultural Trade Liberalization, Developing Countries, And WTO's Doha Negotiations, August 2008.</p> <p>Fenton Sands, "Assessment of the Impact of the Ghana Strategy Support Program (2005–2008)," 2008.</p> <p>Kym Anderson, "Impact Assessment of IFPRI's Research and Related Activities Based on Economywide Modeling," December 2003.</p>
5 Value Chains	Ex-Post Impact Assessment of Research on High Value Agriculture (forthcoming)
6 Social Protection	<p>Impact Assessment of IFPRI's Research Program on Social Protection, 2000-2012. (In progress)</p> <p>Jere Behrman and Maria Cecilia Calderon, "Case Study on IFPRI and Conditional Cash Transfer (CCT) and Non-Conditional Cash Transfer (NCCT) Programs," December 2009.</p> <p>Jere Behrman, "Policy-Oriented Research Impact Assessment (PORIA) Case Study on IFPRI and the Mexican PROGRESA Cash Transfer Program," December 2007.</p>
7 Natural Resource Property Regimes	<p>CGIAR Interim Science Council, "First External Review of the Systemwide Programme on Collective Action and Property Rights (CAPRI)," August 2003.</p> <p>Firetail Limited, "Gender, Agriculture and Assets Project: End of Project Evaluation," April 2014.</p>
8 Cross-cutting: Gender, Partnerships, and Capacity Strengthening	"Impact Assessment of IFPRI's Capacity Strengthening Work, 1985-2010," forthcoming.

Matching Analysis

The evaluation will undertake an activity-by-activity review, based on a standard template, of the W1-2 funded activities based on the original proposals, the annual progress reports, other reports and publications arising from the activities, an interview with the principal investigator, and other

information (such as previous assessments of legacy activities). This seeks to address a number of the evaluation questions in the evaluation matrix (Annex B) across the breadth of the portfolio to the extent that the information and evidence is available from these sources. It will contribute to the assessment of the relevance and coherence of individual activities, by assessing how activity objectives match with Flagship/cluster objectives (or with the equivalent themes/subthemes for the previous years), and to the assessment of cross-cutting issues such as partnerships, gender and capacity strengthening.

This analysis will cover all activities that were approved for W1-2 funding, and selected activities receiving W3 and bilateral funding that are closely linked to these activities. Some of the information collected will be factual, and some will represent evaluative judgments. An IEA Evaluation Analyst will extract factual information about each activity from the activity proposals and progress reports, and the core team members responsible for each Flagship will undertake the evaluative assessments of relevance, partnerships, scientific quality, and effectiveness. The team members will assess how well the activity objectives match with Flagship/cluster objectives, assess activity coverage regarding the gender strategy and capacity strengthening, and analyze other aspects of the activity relevant for the evaluation at the Flagship/cluster level.

A key part of this analysis will be an assessment of the relevance and logic of the impact pathways and theories of change of the individual activities. To what extent have PIM researchers and management asked the same questions about the in which their research will be most effective at the policy level? To check the logic of those impact pathways and theories of policy change.

To assist with this analysis, the evaluation has conducted a brief internal review of academic literature on the impact of social science research on agricultural policy in developing countries that focuses on how social science research impacts the policy process and policy implementation. What type of research and conducted by whom, and what type of outreach activities tend to be more effective in influencing agricultural policy in a positive way. What type of policy environment has a greater tendency to be influenced by research findings? PIM is a research program that aims to have a positive impact on agricultural policies in developing countries. The literature review aims to provide some benchmarks from the academic literature to help the evaluation team assess the relevance of the impact pathways of the program and its Flagships.

Quality of Science Analysis

The evaluation will assess the quality of science at two levels: the program as a whole and Flagship level. The proposed framework for evaluating Quality of Science has four dimensions: (a) processes for assuring quality; (b) input quality; (c) output quality; and (d) perceptions of quality.

Processes in place

This assessment will be done at program level. The assessment aims at determining whether the PIM leadership explicitly addresses quality through processes and whether this could be improved.

The evaluation will look at all internal processes that are explicitly aimed at assuring quality. These include:

- Internal peer processes and how they function

- PIM or Center commissioned external evaluations/reviews (whether they are commissioned and whether they have quality explicitly in the TOR)
- Staff performance assessment process (IFPRI and to the extent possible for other participating Centers) and to what extent it is used for enhancing quality and as a talent management process;
- Incentives for assuring and stimulating high quality, for example internal recognition

Inputs to science quality

This assessment will be done at Flagship project level. The assessment aims at identifying variability within CRP and noting areas of excellence and identifying areas where improvements could be made.

The evaluation will look at quality of CRP team leaders and scientists, research design and resources.

- Team leaders include all Principal Investigators, Flagship and Cluster Leaders, and Focal Points. For these lead scientists, information about their scientific track record will be assessed.
- Team scientists (all researchers) assessment of expected performance with project objectives.
- Team diversity (gender/region/level of seniority)
- The adequacy of resources
- Research design will be assessed for W1-2 activities. ISPC comments on science quality will be taken into account (original proposal and extension proposal).

Output quality

This assessment will be done at the Flagship level. The assessment aims at identifying variability within CRP and noting areas of excellence and identifying areas where improvements could be made.

The evaluation will look at both the quantity and the quality of outputs, also covering other Center outputs.

- Research publications: journal articles, books/book chapters; conference publications; policy briefs etc...
- Other outputs, including tools such as models; metrics; data basis.

Perceptions of quality

The evaluation will draw on perceptions of quality, particularly by thematic areas and by participating Center, on issues such as overall science quality performance, excellence and ambition, critical mass and comparison with other organizations.

Outcome and Impact Analyses

The evaluation will conduct a systematic review and assessment of the outcomes and impacts that have been attributed to research activities mapped to PIM in various publications and reports issued by the program, by IFPRI, and the participating Centers.

This will take account of the maturity of individual activities — whether legacy or new activities. For legacy activities, this will draw on available evaluations, assessment, and reviews, and reports. For new activities this will look at the likelihood of outcomes using the impact pathway and theory of change analysis and the indicators emerging from the literature review.

The team leader will also request each Flagship leaders to prepare a self-assessment of impacts as soon as the Inception Report is issued, giving them two months to prepare these self-assessments. The self-assessments will go beyond the listing of impacts that have been achieved to include reflections on the factors that are influencing the achievement or non-achievement of impacts. Then each of the core team members will validate the self-assessment of his/her Flagship.

Governance and Management Analysis

The evaluation will build upon the recently completed Review of the CGIAR Research Programs Governance and Management issued by the IEA in March 2014. It will assess the quality of PIM's governance and management, among other things, by means of the following:

- The structured interviews and surveys discussed above
- An analysis of the terms of references of the governance and management bodies of PIM — the Science and Policy Advisory Panel (SPAP), the Management Committee, the Program Management Unit, the Flagship and Cluster Leaders, and the Focal Points.
- A review and analysis of the minutes of the Consortium Board, the Fund Council, the IFPRI Board, SPAP, and the Management Committee, insofar as these relate to CRPs in general and PIM in particular.

Main Limitations or Constraints of the Evaluation

Due to the limited time that the PIM has been in operation, this is a formative evaluation of the organizational performance of PIM during its first three years, and a summative evaluation of research and other legacy activities that started before PIM was established. The breadth of the analysis is somewhat limited because the evaluation focuses mainly on those activities whose main source of funding has been W1-2 funds and other activities (receiving W3 and bilateral funds) that are closely linked to them. The evaluation focuses on activities funded by W1-2 funds because these activities have gone through a proposal, review, and selection process involving a review by the Management Committee. Therefore, these activities have received the imprimatur of the PIM program as being aligned with PIM objectives, and information on them is more readily available. The other activities that are mapped to PIM and which are funded primarily by W3 and bilateral funds have not gone through a similarly rigorous process, and information on these activities is not as readily available in a standard format in the program's databases.

Analytical depth comes primarily from the case studies, which focus on legacy activities that, once again, have received W1-2 funding from PIM, as well as other activities (receiving W3 and bilateral funding) that are closely linked to them. The number of case studies is limited by the resources and time available for the evaluation to visit the participating Centers and the countries in which these activities have been operating.

No members of the evaluation team suffer from actual or perceived conflicts of interest.

Organization and Timing of Evaluation

Team Composition: Roles and Responsibilities

The Evaluation will be conducted by a Team of Independent External Experts. The Evaluation Team is composed of five core members. One of the core members together with three other experts will form an expert panel to assess PIM's research using global agricultural models and country-level computational general equilibrium (CGE) models. The Evaluation Team Leader is experienced in leading complex evaluations and is supported by a Team of subject matter experts who cover the Flagship project areas and who also have extensive experience working for international development agencies on issues, programs and policies related to PIM's objectives.

The Team also has the competence to assess the following:

- Program governance, organization and management, including financial management;
- Sociological and gender issues;
- Capacity strengthening;
- Policy and institutional analysis in the context of development;
- Research planning, methods and management;
- Knowledge management, communications and partnership.

The Evaluation Team consists of:

- **Chris Gerrard**, Evaluation Team Leader
- **Krister Andersson**, Team Member and Expert on Natural Resource Property Regimes
- **Flora Nankhuni**, Team Member and Expert on Technology Adoption and Sustainable Intensification; Social Protection; and Gender
- **John Spriggs**, Team Member and Expert on Value Chains
- **Willi Meyers**, Team Member and Chair of Expert Panel on Global Agricultural Modeling
- **Wolfgang Britz**, Member of Expert Panel on Global Agricultural Modeling
- **Stan Johnson**, Member of Expert Panel on Global Agricultural Modeling
- **Mohamed Ali Marouani**, Member of Expert Panel on Global Agricultural Modeling

Background profiles on the Evaluation Team are available in Annex D.

Evaluation Governance: Roles and Responsibilities

The Team Leader has final responsibility for the Evaluation Report and all findings and recommendations therein, subject to adherence to IEA Evaluation Standards. The Evaluation Team is responsible for submitting the deliverables, as outlined in the detailed Timeline later in this chapter.

The IEA is responsible for planning, designing, initiating, and managing the evaluation. The IEA will also be responsible for the quality assurance of the evaluation process and outputs, and for the dissemination of the results. The IEA will take an active role in the preparatory phase of the evaluation by collecting background data and information and by carrying out preliminary analysis on PIM. An

Evaluation Manager, supported by an Evaluation Analyst, will provide support to the team throughout the evaluation.

A **Reference Group** has been set-up to work with the IEA Evaluation Manager to ensure good communication with, learning by, and appropriate accountability to primary evaluation clients and key stakeholders, while preserving the independence of evaluators. The Reference Group provides views and inputs at key decision stages in the evaluation design and implementation process, including for the Terms of Reference, the Inception Report and the Draft Report. The Reference Group may also play an important role in leading evaluators to key people and documents.

The reference group consists of seven members, listed in Table 12.

Table 12: Evaluation Reference Group for PIM Evaluation

Name	Title	Organization
Karen Brooks	PIM Director	IFPRI
Mark Rosegrant	Director EPTD; Former PIM Director	IFPRI
Ruth Haug	IFPRI Board Member; Deputy Vice Chancellor of Research and Professor at UMB	Norwegian University of Life Sciences (UMB)
Lindiwe Sibanda	PIM Science Policy and Advisory Panel (SPAP) Member; Chief Executive Officer and Head of Mission at FANRPAN	Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN)
Chris Barrett	SPAP Member; Director of the Dyson School of Applied Economics and Management	Cornell University
Stanley Wood	Donor Representative; Senior Program Officer, Agricultural Policy & Global Development Program	Bill and Melinda Gates Foundation
Harold Roy-Macauley	Member of ISPC; Executive Director, CORAF/WECARD	West and Central African Council for Agricultural Research and Development (CORAF/WECARD)

PIM management plays a key role in helping provide for the evaluation team's informational needs. It provides documentation and data, information on all PIM activities, access to staff for engagement with the evaluators, and information on partners and stakeholders. It facilitates arrangement of site visits and appointments within the lead Center and other stakeholders. PIM management is also responsible for giving factual feedback on the Draft Report and for preparing the Management Response to the Final Report. It assists in dissemination of the report and its finding and lessons and it acts on the accepted recommendations. While the evaluation is coordinated with PIM management, IFPRI as the lead Center is a key stakeholder in the evaluation. It hosts visits to the Center and its leadership and board are expected to make themselves available for consultations during the evaluation process.

Quality Assurance

In order to ensure technical rigor to the evaluation, the following quality assurance will be implemented during the evaluation exercise:

- **The IEA** will work closely with the Evaluation Team throughout the evaluation, and will ensure that the tools and methodologies, as well as the process followed, are in line with the CGIAR IEA Evaluation Policy and Standards.
- **Quality Assurance Advisory Panel:** In accordance with the IEA's Evaluation Policy, two Senior Evaluation Experts will peer-review the evaluation at different milestones, including the Inception Report and the Draft Report.

Timeline and Deliverables

The schedule for deliverables and work is indicated in Table 13, and in Annex A.

This **Inception Report** builds on the original Evaluation Terms of Reference and constitutes the guide for conducting the evaluation, by detailing (a) the scope of the evaluation (see Chapter 3); (b) the evaluation matrix (see Annex B); (c) the analytical frameworks which will be utilized by the evaluation (see Chapter 4); (d) the methodological tools (see Chapter 5), and (d); a work plan for the evaluation (Annex A).

The **Evaluation Report** — the main output of this evaluation — will describe findings, conclusions and recommendations based on the evidence collected within the framework of the evaluation questions defined in Annex B. The recommendations will be derived from the findings, provide alternatives as appropriate, be actionable, and indicate where possible the responsibility for implementation. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings, conclusions and recommendations will be summarized in an executive summary.

Table 13: Evaluation Timetable and Tentative Deliverables

Phase	Period	Main outputs	Responsibility
Preparatory Phase	Dec 2013 – March 2014	Evaluation Terms of Reference Evaluation Team recruited	IEA
Inception Phase	April – July 2014	Inception Report	Evaluation Team
Inquiry Phase	July – Dec 2014	Country missions and field visits Data collection and analysis Desk review, quality of science analysis Structured interviews and focus groups Portfolio and matching analysis Lit review and workshop participation	Evaluation Team
Reporting Phase			
	Dec 2014 – Jan 2015	Presentation of preliminary findings Draft Evaluation Report	Evaluation Team
	Jan – Feb 2015	Feedback from main stakeholders	PIM/IFPRI Management IEA
	Feb – March 2015	Presentation of Draft Report	Evaluation Team

Final Evaluation Report			
	March 2015	Management Responses	PIM Management Consortium
Dissemination Phase	April - May 2015	Communication products	IEA Evaluation Team Leader PIM Management
Evaluation Package	May 2015	Presentation of the Final Report, Management Response and Consortium Board Response	Fund Council

Feedback and Responses to the Evaluation

Adequate consultations with PIM stakeholders will be ensured throughout the process. In particular, debriefings on key findings will be held at various stages of the evaluation. Consultations, feedback and finalization of the Evaluation Report will take place as per IEA guidance on “CRP Evaluation Process for Finalization, Feedback and Response.”

PIM management will prepare a response to the evaluation for the consideration of the Consortium Board. The Management Response will contain both an overall response to the evaluation, as well as response by recommendation—addressing each recommendation in the order presented in the Evaluation Report. The **Consortium** (Consortium Office, with approval of the Consortium Board) will review the Evaluation Report and PIM Management Response and provide their response on the Evaluation Report recommendations, Management Response and Action Plan. The Final Evaluation Report, PIM Management Response and the Consortium Board Response will be considered by the **Fund Council Evaluation and Impact Assessment Committee** (EIAC). As the final step of the Evaluation Report process, the Fund Council will consider the findings and recommendations of the Evaluation Report and the answers of the PIM Management Response and Consortium Board Response, then provide decision support and endorsement of the evaluation, responses, action plans and proposed follow-up.

Dissemination Plans

Presentations will be prepared by the Team Leader for disseminating the Report to targeted audiences. Several events will be organized to disseminate the evaluation results, including but not limited to:

- Webinars with PIM management and staff at the end of the Evaluation Team Meeting to present **preliminary findings** (December 2014);
- **Presentations of the Draft Report** to PIM Reference Group, PIM governance Bodies; IFPRI Management and Board; Consortium (March 2015);

Presentation of the Final Report to the Evaluation and Impact Assessment Committee (EIAC) and the Fund Council (May 2015).

Annex A. Evaluation Workplan

	2014							2015				
	June	July	August	September	October	November	December	January	February	March	April	May
Inception Report												
Literature Review												
Centralized Data Collection												
Portfolio and Matching Analysis												
Structured Interviews												
Quality of Science Data Collection and Analysis												
Self-Assessment and Validation of Impacts												
Country Visits and Case Study Analysis				Uganda Kenya Mozambique Malawi Cambodia India	Colombia Ecuador Peru	India Nigeria Ghana						
Administer Staff and Partner Surveys												
Focus Groups												
Preliminary Findings and Formulate Major Messages												
Draft and Final Reports												
Management Review and Consortium Response												
Dissemination												

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ActNo	Cluster	Center	Principal Investigator	Title	Regions / Countries	% Gender	Donor	2013 Expenditures	Comments	Travel	Countries/ Centers
6	3.1	CIAT	Mark Lundy	Building R4D learning platforms in Latin America, Africa and Asia	LAC: Honduras, Nicaragua, Peru SSA: Kenya, Ethiopia, Malawi, Tanzania, Zambia SEA	33%	W1-2	\$281,077	John will cover Peru activities and CIAT when he travels to Latin America in October.	Flora, Chris: September John: October	Kenya, Malawi, Peru CIAT
18	3.1	ICRAF	Steven Franzel	Evaluation of innovative extension approaches	SSA: Cameroon, Côte d'Ivoire, Kenya, Malawi, Rwanda, Tanzania, Uganda	50%	W1-2	\$364,068		Flora, Chris: September r	Kenya, Malawi, Uganda ICRAF, ILRI
103	3.1	IFPRI	Valerie Mueller	Does agricultural training and female representation in extension foster investments among female farmers? Lessons from a policy experiment in Mozambique	SSA: Mozambique	100%	W1-2	\$68,193	This is an impact evaluation of a gender-specific agricultural extension research project.	Flora, Chris: September r	Mozambique
45	3.2	IFPRI	Jawoo Koo	Geospatial tools to support: Mapping of the work of the CGIAR CRPs, Development of the G8 Technology	Global, with focus on SSA and SA		W1-2	\$377,118	The deliverables are geospatial targeting tools developed for Tanzania, Mozambique,	Flora and Chris: September r	Malawi, Mozambique, Uganda. ASARECA, a major partner, is

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				Platform, and alignment of investment to support agricultural growth					Malawi, Ethiopia, and Ghana. Workshops were conducted in Malawi, Mozambique, and Tanzania.		located in Entebbe, Uganda.
15	5.1	CIP	André Devaux	Adapting, consolidating and scaling out methods for equitable value chain upgrading; Add 2013: Compendium on multi-stakeholder platforms for innovation in value chain	EA: China LAC: Bolivia, Colombia, Ecuador, Peru SA: Bangladesh, India SEA: Indonesia, Philippines SSA: Kenya, Tanzania, Uganda	33%	W1-2	\$619,253	Chris and Flora will cover the Kenya activities when they travel to Kenya in September.	John: October Chris and Flora to Kenya in September	Colombia, Ecuador, Peru, Kenya CIP
21	5.1	ICRAF	Jason Donovan	Understanding the potential for addressing rural poverty through value chain development for underutilized fruits	LAC: Nicaragua, Peru SSA: Cameroon, Kenya, Tanzania	50%	W1-2	\$346,127	Chris and Flora will cover the Kenya activities when they travel to Kenya in September.	John: October	Peru, Kenya ICRAF
4	5.2	Bio-versity	Dietmar Stoian	Enhancing agricultural value chains of underutilized crops through improved quality assurance and	LAC: Bolivia, Peru SA: India SEA: Indonesia, Malaysia, Thailand	33%	W1-2	\$130,037		John: September October	India, Peru

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				coordination mechanisms across actors							
7	5.2	CIAT	Mark Lundy	Building sustainable trading relationships between smallholder farmers and buyers	LAC: Colombia, Haiti, Honduras, Nicaragua, Peru SSA: Kenya, Ethiopia, Malawi, Uganda, Tanzania, Zambia	33%	W1-2	\$373,703	Chris and Flora will cover the Kenya activities when they travel to Kenya in September.	John: October	Colombia, Peru, Kenya, Uganda CIAT
n.a.	7.1	IFPRI	Ruth Meinzen-Dick	Systemwide Program on Collective Action and Property Rights (CAPRI))	Global	33%	W1-2, Bilateral	N/A	This is closely linked to several W1-2 funded activities.	Krister: October	India
89	7.1	World-fish	Blake Ratner	Engaging policy stakeholders across scales through community-based action research	Pacific: Solomon Islands SA: Bangladesh SEA: Cambodia, Philippines SSA: Zambia Global	20%	W1-2	\$124,985	John will cover the Cambodia activities in September	John: September	Cambodia, (Worldfish)
44	7.3	IFPRI	Hosaena Ghebru Hagos	Land tenure security and land policy in selected African countries	SSA: Ethiopia, Ghana, Malawi, Mozambique, Nigeria, Rwanda, Senegal, Uganda, SSA global	33%	W1-2	\$433,663		Krister: November Flora, Chris: September	Ghana, Mozambique, Nigeria
73	7.5	IFPRI	Agnes	Strengthening	SA: Bangladesh,	100%	W1-2,	\$198,699	This is part of the	Flora,	Bangladesh,

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			Quisumbing	women's assets for better development outcomes	India SSA: Burkina Faso, Kenya, Mozambique, Tanzania, Uganda		BMGF		Gender, Agriculture and Assets Project (GAAP).	Chris: September John: September	Kenya, Mozambique, Uganda
n.a.	8.1	IFPRI	Ruth Meinzen-Dick	Women's Empowerment in Agriculture Index	SA: Bangladesh LAC: Guatemala SSA: Uganda Global	100%	W3 USAID	N/A	This is closely linked to the W1-2 funded sex-disaggregated data initiative. Bangladesh, Guatemala, and Uganda were the three pilot countries for WEAI.	Flora, Chris: September	Ghana, Kenya, Malawi, Uganda

Annex B. Evaluation Matrix

Research/Programmatic Performance

Evaluation of research/programmatic performance comprises the IEA criteria of relevance, effectiveness, impact and likely sustainability of PIM's research, capacity strengthening and gender-specific activities of the program—as well as the scientific quality of PIM's research and the relevance and effectiveness of partnerships in contributing to PIM's outputs, outcomes, and impacts. Starting at the individual activity level, the assessments will be aggregated and synthesized for each Flagship project, and then for the program as a whole.

The evaluation focuses first of all on the legacy and new activities (started since PIM was established in 2012) that are receiving W1-2 funding — since these activities have become part of the program as a result of a centralized call for proposals and review process — and second on W3 and bilaterally funded activities that are closely linked to these W1-2 activities.

The data collection and analytical approaches comprise both breadth and depth of analysis. Certain approaches apply across the portfolio of activities that are part of PIM, while others apply primarily to a limited set of legacy activities which are the subject of in-depth case studies. Most of the in-depth case studies will involve visits to the CGIAR Centers and selected countries where the activities are taking place, which will in turn involve interviews with research, implementation, and outreach partners.

Evaluation Issues and Questions	Data Collection and Analysis
Relevance	
Supply-side relevance and design. What are the objectives and strategies of each activity? How well are these aligned with the objectives and strategies of each Flagship and the program as a whole? To which System Level Outcomes (SLOs) is the activity contributing? How coherent are the PIM activities? How well has this been articulated in terms of a theory of change and impact pathways? How realistic and plausible are these? What is the validity of the assumptions underlying these impact pathways, including those relating to the external factors that are crucial for the intended outcomes and impacts?	Desk review of the CGIAR's Strategy and Results Framework (SRF); the approved PIM proposal; PIM planning documents, strategies, presentations, and reports, including the "First 18 Months" report; and the Intermediate Development Outcomes (IDOs) and impact pathways for each Flagship. Portfolio and matching analysis of all W1-2 proposals. Interviews with principal investigators. ISPC appraisals Review of the academic literature of the influence of research on public policy to develop a set of indicators to use in this evaluation.
Demand-side relevance. What is the rationale for each activity? How did each activity originate? How were the needs and priorities of intermediary users and ultimate beneficiaries taken into account, e.g. by means of a needs assessment, professional judgment, etc.	Same as 1 above. Partner survey. Interviews with partners and beneficiaries on country visits.
Comparative advantage. What are the comparative advantages of PIM, IFPRI, and the participating Centers in the global agricultural research system? To what extent are the research activities being conducted playing up to these comparative advantages?	Same as 1 above. Desk review of CGIAR and PIM documents on the CGIAR's and PIM's comparative advantage in policy research. Matching analysis of the types of research being undertaken in each activity, e.g. blue sky research, strategic research, applied research, outscaling, etc?

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	Staff surveys and focus groups. Partner survey. Interviews with professional peers.
Value added. What is the value added of PIM in relation to the CGIAR's purposes for establishing CRPs?	This is an overarching question the answer to which will draw upon the all the analysis and findings of the evaluation.
Partnerships	
To what extent is research collaboration occurring among the participating Centers in each Flagship? To what extent are these relevant and likely effective in relation to each Flagship's objectives and in achieving the goal of the CRPs to bring about greater inter-Center collaboration in the System?	Desk review of the approved PIM proposal, statement on partnerships (October 2012), PIM planning documents, presentations, and reports. Matching analysis of W1-2 proposals, progress reports and blogs. Interviews with Focal Points, Flagship Leaders and principal investigators. Staff survey and focus groups.
To what extent do research, implementation, and outreach partners exist in PIM activities? To what extent are these relevant and likely effective in relation to each activity's objectives and design?	Same as 5. Partner survey.
To what extent have research, implementation, and outreach partnerships been effective and efficient in achieving outputs and outcomes along the impact pathways of legacy activities? Have there been any obvious gaps in the activities' partnership frameworks?	In-depth analysis of case studies based on previous assessments/evaluations, country visits, interviews, and other evidence.
To what extent have these research, implementation, and outreach partnerships contributed to long-term capacity building in partner institutions?	Same as 7. Desk review of previous assessments/evaluations such as the recent impact assessment of IFPRI's capacity strengthening activities, 1985–2010.
How do research, implementation, and outreach partners view the performance of PIM as a partner in relation to the eight partnership principles in PIM's partnership strategy?	Partner survey. Interviews of partners during country visits.
What has been the effectiveness of the PIM Management Unit in facilitating the establishment and maintenance of relevant and effectiveness partnerships?	Desk reviews of PIM reports, including workshop reports. Staff survey and focus groups. Interviews with Focal Points, Flagship Leaders and principal investigators.
Quality of Science	
To what extent do PIM, IFPRI, and the participating Centers have internal processes in place and staff incentives to ensure high quality research?	Document analysis: External evaluations/reviews ISPC commentaries (original proposal, extension proposal) Interviews of PIM and Center program managers about processes in place
What is the quality of the principal investigators, research staff, facilities, resources, and other inputs into the research process?	Assessment of the scientific track record of team leaders, including principle investigators, Flagship and Cluster Leaders and Focal Points: Team scientists assessment of expected performance with project objectives Team diversity (gender/region/level of seniority) Adequacy of resources at Flagship Project level Research design of W1-2 funded projects, taking into

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	account ISPC comments on science quality (original proposal and extension proposal for 2015–16).
To what extent do the choices of research topics and research designs reflect a high quality of scientific thinking, state-of-the-art knowledge of the scientific literature, and novelty in research approaches?	Matching analysis of W1-2 proposals. Interviews with professional peers
What is the quality of the research outputs relative to appropriate comparators?	Publication analysis Publication list since 2009, cut-off date September 1, 2014 Pipeline of publications Elsevier study ²¹ for IFPRI (Consortium Office) Publication venue analysis Random sample of publications for output quality assessment (other than those of the case studies) Output analysis List of other outputs: other publications (see above); models; metrics; data basis
Effectiveness	
What has been the progress towards outputs of the new research activities that have been started with W1-2 funding since PIM was approved in December 2011? What is the likelihood that these activities will achieve their planned outputs and outcomes?	Desk review of PIM reports, including the “First 18 Months” report. Matching analysis of W1-2 proposals, progress reports and blogs. Interviews with Flagship Leaders and principal investigators.
What have been the achievements (outputs, outcomes, and impacts) of the legacy activities that are mapped to PIM and that have received W1-2 funding?	Same as 15. In-depth analysis of case studies based on previous assessments/evaluations, country visits, interviews, and other evidence. Desk review of original donor agreements for case study activities. Self-assessment by Flagship Leaders and validation by PIM evaluation team.
What constraints – both internal and external – have the new and legacy activities faced in implementing their activities? How have the activities addressed these constraints?	Same as 16.
What factors – both internal and external – are influencing the achievement or non-achievement of the objectives of the program’s legacy activities? How have these activities’ objectives and strategies evolved, if any, in response to (a) learning from experience and (b) emerging risks and opportunities? Are there any activities that should be modified, discontinued, or added to the current portfolio in order to achieve the program’s objectives more efficiently?	Same as 16.
Impacts and Likely Sustainability	
To what extent have previously completed impact assessments of activities now mapped to PIM yielded	Meta-review of previous impact assessments at IFPRI and other participating Centers.

²¹. CGIAR Research Output and Collaborative Study 2014 – Report prepared by Elsevier for CGIAR Consortium (draft only – June 2014).

lessons regarding constraints to achieving impacts? To what extent have these been taken into account in designing PIM activities?	
To what extent is research being conducted in IFPRI's Country Strategy Support Program (CSSP) countries having greater or more immediate impacts than in other countries?	<p>In-depth analysis of case studies based on previous assessments/evaluations, country visits, interviews, and other evidence.</p> <p>Desk review of original donor agreements for case study activities.</p> <p>Self-assessment by Flagship Leaders and validation by PIM evaluation team.</p> <p>Meta-review of previous evaluations of CSSP programs.</p> <p>Interviews with IFPRI staff responsible for CSSP programs.</p> <p>Partner survey</p>
To what extent are PIM activities, particularly those in CSSP countries, translating country-level research results into global public knowledge of benefit to a broad array of other countries at similar stages of development?	Same as 20.
What is each activity's implicit theory of sustainability — the way in which it expects the benefits arising from its activities to be sustained in the future after the activities have been completed? What are the assumptions underlying these theories of sustainability? What are the expected roles and activities of other actors in this process?	Same as 20.
Gender and Capacity Strengthening	
What has been the relevance and effectiveness of the program's gender-specific research activities — the Gender, Agriculture, and Assets Program (GAAP), the Women's Empowerment in Agriculture Index (WEAI), and the Sex-Disaggregated Data initiative — that are intended to create new tools and methods to clarify how gender enters into the pursuit of the SLOs, and ultimately to develop concepts and methods with broad application throughout the CGIAR System?	In-depth analysis of gender-specific case studies based on previous assessments/evaluations, country visits, interviews, and other evidence.
How effectively is the program mainstreaming gender issues throughout its portfolio of activities? To what extent is gender analysis being incorporated into research designs in terms of relevance to and effects on women? What accountability mechanisms are in place and being implemented to manage, monitor, and report on the gender dimensions of the program's activities?	<p>Desk review of the CGIAR and PIM gender strategies, the gender IDOs for each Flagship, and PIM planning documents, presentations, and reports.</p> <p>Matching analysis of W1-2 proposals, progress reports and blogs.</p> <p>Interviews with principal investigators.</p> <p>Staff survey and focus groups.</p> <p>In-depth analysis of other case studies based on country visits, interviews, and other evidence.</p>
What lessons can be learned from the experiences with the program's gender-specific activities and with mainstreaming gender issues through the portfolio? Has there been an under-emphasis or over-emphasis on mainstreaming gender issues in terms of achieving the SLOs?	Draws on findings in relation to questions 22 and 23.
What has been the extent and nature of the program's capacity strengthening activities, both planned and actual,	Matching analysis of W1-2 proposals, progress reports, and blogs.

in the light of the program's stated approaches to capacity strengthening?	Identification of capacity strengthening activities in the PIM portfolio since PIM was established — collaborative research, outreach activities, training, institutional development, etc. Desk review of workshop reports, including lists of people trained, workshop attendees, their organizations, and contacts.
What evidence is there that these capacity strengthening activities are enhancing the sustainability of the benefits arising from PIM's research activities?	Same as 26. Staff survey and focus groups. In-depth analysis of case studies based on country visits, interviews, and other evidence. Desk review of previous assessments/evaluations such as the recent impact assessment of IFPRI's capacity strengthening activities, 1985–2010.
What lessons can be learned from the program's experience with capacity strengthening activities? Has there been an under-emphasis or over-emphasis on capacity strengthening activities in terms of achieving the SLOs?	Draws on findings in relation to questions 25 and 26.

Organizational Performance

The evaluation of organizational performance refers to the proficiency of the program's governance and management structures, functions, and processes in efficiently and transparently directing and facilitating achievement of the program's objectives. The first set of questions on governance and management builds on the recently completed CGIAR-IEA *Review of CGIAR Research Programs Governance and Management* (March 2014).

Governance and Management

Governance and management arrangements. To what extent are these clearly articulated and understood among those involved in the governance and management of PIM?	Desk review of the Joint Agreement and Consortium Performance Agreement between the CGIAR Fund and Consortium; the Program Implementation Agreement between the Consortium and IFPRI; and the annual Program Participant Agreements between IFPRI and the participating Centers. Desk review of the terms of reference and membership of the Science and Policy Advisory Panel (SPAP), the PIM Management Unit (PMU), the Management Committee, the participating Center Focal Points, and the Flagship and Cluster Leaders.
Legitimacy. To what extent do the governance and management arrangements permit and facilitate the effective participation and voice of the different categories of stakeholders in the governance and management decisions, taking into account their roles and responsibilities?	Desk reviews of the minutes of Fund Council, Consortium Board, IFPRI Board, SPAP, and Management Committee. Interviews with selected Fund Office staff, Consortium staff, IFPRI staff, SPAP members, PMU staff, Management Committee members, Focal Points, and Flagship and Cluster Leaders. Staff survey and focus groups. Interviews with partners and partner survey.
Efficiency of governance. How efficiently is the program carrying out its governance functions without sacrificing quality?	Same as 2.
Accountability. To what extent are the lines of accountability within the program well-defined, accepted, and being followed? Are there any significant gaps in either programmatic or fiduciary accountability?	Same as 2.
Transparency. To what extent are the program's decision-making, reporting, and evaluation processes open and available to the general public, subject to confidentiality requirements in scientific research and in human resource management?	Same as 2. Desk review of PIM planning documents, strategies, presentations, and reports, including the "First 18 Months" report. Review of the PIM website.
Conflicts of Interest. To what extent are conflicts of interests being identified and managed transparently?	Same as 2. Desk review of CGIAR, IFPRI, and PIM policies on conflicts of interest.
Host arrangements. How well is the relationship working between the host organization (IFPRI) and the program in a way that balances the benefits and costs of such arrangements?	Same as 2.
Lessons learned. What lessons can be learned to date regarding the effectiveness of the new governance and	Draws on findings of the above desk reviews, analyses, and interviews.

management arrangements for CRPs in general and for PIM in particular?	
Efficiency	
What have been the principal sources and uses of funds since the program started? What are the strategic, operational, and financial linkages between W1-2 funded activities and W3/bilaterally funded activities?	Desk review and analysis of IFPRI and PIM financial reports. Review and analysis of the financing and co-financing of different activities.
Financial management, budgeting, reporting, and compliance. To what extent does the program have good financial management, budgeting, and reporting?	Desk review of CGIAR and IFPRI financial guidelines and audit reports. Interviews with IFPRI financial staff and PMU staff.
Resource allocation. How effective and efficient have been the criteria and the procedures for allocating the program's resources? How have the resource allocation processes and timing affected the implementation of the program's research activities?	Desk review of resource allocation criteria, procedures, and results. Desk review of minutes of Management Committee meetings. Interviews with PMU staff, Management Committee members, and Flagship Leaders.
Administrative costs. How do the administrative costs of the program compare to the benchmarks that have been established by the CGIAR?	Desk review and analysis of administrative costs. Interviews with IFPRI financial staff, PMU staff, Flagship Leaders, and principal investigators.
Earmarked funding. How has the degree of restricted vs. unrestricted funding affected the efficiency or cost-effectiveness of the program as a whole?	Desk review and analysis of sources of funding. Interviews with PMU staff, Flagship and Cluster Leaders, and principal investigators.
Resource mobilization. How effective has been the mobilization of financial resources for the program?	Desk review of IFPRI and PIM reports and presentations. Interviews with IFPRI and PMU staff, Flagship Leaders, and principal investigators.
Have there been any areas of obviously inefficient use of resources, for example, in the use of facilities and services?	Observations in the course of the above desk reviews, analyses, and interviews.
Lessons learned. What lessons can be learned to date regarding the efficient use of the System-level financial resources (W1-2)?	Draws on findings of the above desk reviews, analyses, and interviews.
Monitoring, Reporting, and Learning	
Monitoring system. To what extent has the program put in place, or plans to put in place (a) measurable indicators that meet the monitoring and reporting needs of program governance and management, (b) systematic and regular processes for collecting and managing data, including baseline data, and (c) feedback loops from monitoring and evaluation to decision-making? How relevant and useful are the indicators for assessing the effectiveness of individual activities — their progress, outputs, and outcomes?	Desk review of PIM planning documents, strategies, presentations and reports. Interviews with PMU staff, Flagship Leaders, and principal investigators.
Reporting. What have been the programmatic reporting requirements to the IFPRI and Consortium Boards to ensure adequate oversight of the program? To what extent have these requirements been reasonable, excessive, or inadequate? What has been the quality of the program's reports in relation to these requirements?	Desk review of Consortium, IFPRI, and PIM reporting requirements. Interviews with selected Consortium, IFPRI, and PMU staff, Flagship Leaders, and principal investigators.

Learning. What progress has the program made in putting in place a knowledge management strategy and communications strategy to enhance learning, as outlined in the final program proposal submitted to the Consortium Board in October 2011?

Desk review of PIM planning documents, strategies, presentations, and reports.
Interviews with PMU staff, Flagship Leaders, and principal investigators.

Annex C. Evaluation Matrix

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Evaluation Issues and Questions	Data Collection and Analysis
Relevance	
Supply-side relevance and design. What are the objectives and strategies of each activity? How well are these aligned with the objectives and strategies of each Flagship and the program as a whole? To which System Level Outcomes (SLOs) is the activity contributing? How well has this been articulated in terms a theory of change and impact pathways? How realistic and plausible are these? What is the validity of the assumptions underlying these impact pathways, including those relating to the external factors that are crucial for the intended outcomes and impacts?	Intermediate Development Outcomes (IDOs) and impact pathways for Flagships 1 and 4. Portfolio and matching analysis of all W1-2 proposals. Interviews with principal investigators. Review of the academic literature of the influence of research on public policy to develop a set of indicators to use in this evaluation (being done by the core evaluation team).
Demand-side relevance. What is the rationale for each activity? How did each activity originate? How were the needs and priorities of intermediary users and ultimate beneficiaries taken into account, e.g. by means of a needs assessment, professional judgment, etc.	Same as 1 above. Partner survey (being administered by the core evaluation team). Interviews with research, implementation, and outreach partners.
Comparative advantage. What are the comparative advantages of PIM, IFPRI, and the participating Centers in the global agricultural research system? To what extent are the research activities being conducted playing up to these comparative advantages?	Same as 1 above. Desk review of CGIAR and PIM documents on the CGIAR's and PIM's comparative advantage in policy research (by the core evaluation team). Matching analysis of the types of research being undertaken in each activity, e.g. blue sky research, strategic research, applied research, outscaling, etc? Staff surveys and focus groups (by the core evaluation team). Partner survey. Interviews with professional peers.
Value added. What is the valued added of PIM in relation to the CGIAR's purposes for establishing CRPs?	This is an overarching question the answer to which will draw upon the all the analysis and findings of the evaluation.
Partnerships	
To what extent is research collaboration occurring among the participating Centers in Flagships 1 and 4? To what extent are these relevant and likely effective in relation to each Flagship's objectives and in achieving the goal of the CRPs to bring about greater inter-Center collaboration in the System?	Matching analysis of W1-2 proposals, progress reports and blogs. Interviews with Flagship Leaders and principal investigators. Staff survey and focus groups (by the core evaluation team).
To what extent do research, implementation, and outreach partners exist in PIM activities? To what extent are these relevant and likely effective in relation to each activity's objectives and design?	Same as 5. Partner survey (by the core evaluation team).
To what extent have research, implementation, and outreach partnerships been effective and efficient in achieving outputs and outcomes along the impact pathways of legacy activities? Have there been any obvious gaps in the activities' partnership frameworks?	In-depth analysis of case studies based on previous assessments/evaluations, interviews, and other evidence.
To what extent have these research, implementation, and	Same as 7.

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outreach partnerships contributed to long-term capacity building in partner institutions?	Desk review of previous assessments/evaluations such as the recent impact assessment of IFPRI's capacity strengthening activities, 1985–2010 (by the core evaluation team).
How do research, implementation, and outreach partners view the performance of PIM as a partner in relation to the eight partnership principles in PIM's partnership strategy?	Partner survey (by the core evaluation team). Interviews of partners.
What has been the effectiveness of the PIM Management Unit in facilitating the establishment and maintenance of relevant and effectiveness partnerships?	Desk reviews of PIM reports, including workshop reports (by the core evaluation team). Staff survey and focus groups (by the core evaluation team). Interviews with Flagship Leaders and principal investigators.
Quality of Science	
What is the quality of the principal investigators, research staff, facilities, resources, and other inputs into the research process?	Citation analysis of principal investigators' publications since 2006 (by the core evaluation team). Interviews with principal investigators and professional peers. Staff survey and focus groups (by the core evaluation team).
To what extent do the choices of research topics and research designs reflect a high quality of scientific thinking, state-of-the-art knowledge of the scientific literature, and novelty in research approaches?	Matching analysis of W1-2 proposals. Interviews with professional peers.
What is the quality of the research outputs relative to appropriate comparators?	Identifying research outputs from progress reports, blogs, and interviews with principal investigators. Qualitative analysis of non-published outputs from in-depth case studies. Comparing the quality of global agricultural models with those of other organizations and researchers.
Effectiveness, Impacts, and Likely Sustainability	
What has been the progress towards outputs of the new research activities that have been started with W1-2 funding since PIM was approved in December 2011? What is the likelihood that these activities will achieve their planned outputs and outcomes?	Desk review of PIM reports, including the "First 18 Months" report. Matching analysis of W1-2 proposals, progress reports and blogs. Interviews with Flagship Leaders and principal investigators.
What have been the achievements (outputs, outcomes, and impacts) of the legacy activities that are mapped to PIM and that have received W1-2 funding?	Same as 14. In-depth analysis of case studies based on previous assessments/evaluations, interviews, and other evidence. Self-assessment by Flagship Leaders and validation by PIM evaluation team.
What constraints – both internal and external – have the new and legacy activities faced in implementing their activities? How have the activities addressed these constraints?	Same as 15.
What factors – both internal and external – are influencing the achievement or non-achievement of the objectives of the program's legacy activities? How have these activities' objectives and strategies evolved, if any, in response to (a) learning from experience and (b) emerging risks and opportunities? Are there any activities that should be	Same as 15.

modified, discontinued, or added to the current portfolio in order to achieve the program's objectives more efficiently?	
What is each activity's implicit theory of sustainability — the way in which it expects the benefits arising from its activities to be sustained in the future after the activities have been completed? What are the assumptions underlying these theories of sustainability? What are the expected roles and activities of other actors in this process?	Same as 15.
Gender and Capacity Strengthening	
How effectively is the program mainstreaming gender issues throughout its portfolio of activities? To what extent is gender analysis being incorporated into research designs in terms of relevance to and effects on women?	<p>Desk review of the CGIAR and PIM gender strategies, the gender IDOs for each Flagship, and PIM planning documents, presentations, and reports.</p> <p>Matching analysis of W1-2 proposals, progress reports and blogs.</p> <p>Interviews with principal investigators.</p> <p>Staff survey and focus groups (by the core evaluation team)</p> <p>In-depth analysis of case studies based on interviews, and other evidence.</p>
What lessons can be learned from the experiences with the program's gender-specific activities and with mainstreaming gender issues through the portfolio? Has there been an under-emphasis or over-emphasis on mainstreaming gender issues in terms of achieving the SLOs?	Draws on findings in relation to question 19.
What has been the extent and nature of the program's capacity strengthening activities, both planned and actual, in the light of the program's stated approaches to capacity strengthening?	<p>Matching analysis of W1-2 proposals, progress reports, and blogs.</p> <p>Identification of capacity strengthening activities in the PIM portfolio since PIM was established — collaborative research, outreach activities, training, institutional development, etc.</p> <p>Desk review of workshop reports, including lists of people trained, workshop attendees, their organizations, and contacts.</p>
What evidence is there that these capacity strengthening activities are enhancing the sustainability of the benefits arising from PIM's research activities?	<p>Same as 21.</p> <p>Staff survey and focus groups (by the core evaluation team).</p> <p>In-depth analysis of case studies based on interviews, and other evidence.</p>
What lessons can be learned from the program's experience with capacity strengthening activities? Has there been an under-emphasis or over-emphasis on capacity strengthening activities in terms of achieving the SLOs?	Draws on findings in relation to questions 21 and 22.

Annex D. Evaluation Team Member Profiles

Chris Gerrard, Team Leader

Chris Gerrard is an independent consultant in international development evaluation and training, based in the Washington, DC, metro area. Recently retired from the Independent Evaluation Group (IEG) of the World Bank, he coordinated IEG's evaluation and review work on global and regional partnership programs from 2005–2013. He was the principal author of the IEG and OECD/DAC *Sourcebook of Indicative Principles and Standards for Evaluating GRPPs*, 2007. He also led a World Bank Institute in-service training program from 1994–99 on agricultural policy and institutional reform for sustainable rural development, focusing primarily on Africa. A Canadian national, he has degrees from the Universities of Saskatchewan, Oxford, and Minnesota. He had an academic career in Canada before joining the World Bank in 1994.

Krister Andersson, PIM's work on Natural Resource Property Regimes (Flagship 7)

Krister Andersson studies the governance of natural resources in developing countries. He received a PhD in Public Policy from Indiana University in 2002 and currently holds a faculty position in Political Science at the University of Colorado at Boulder. His work has been published in four books and some 50 articles in journals such as *World Development*, *Global Environmental Change*, and *Comparative Political Studies*. In 2007, he was awarded the Giorgio Ruffolo Fellowship in Sustainability Science from Harvard University.

Flora Nankhuni, PIM's work on adoption of technology and sustainable intensification (Flagship 3); Social protection (Flagship 6) and Gender

Flora Nankhuni has a Ph.D. degree in Agricultural Economics and Demography and a Masters' degree in Economics from the Pennsylvania State University. She has 12 years of significant evaluation and agricultural economics and development experience gained from working in various World Bank Group departments. Flora has co-authored the World Bank Independent Evaluation Group's (IEG) Agriculture and Agribusiness evaluation and was a core team member on three other IEG evaluations of: Social Safety Nets and Gender Equality, Health, Nutrition and Population Programs; and the Africa Action Plan (AAP), where she analyzed, among other factors, the extent to which the CAADP's goal of increasing agricultural productivity in Africa had been achieved. She has also contributed to several other prominent World Bank publications including: the Malawi Poverty and Vulnerability Assessment Report; *Toward Gender Equality and Development in East Asia and the Pacific* (a companion publication to the World Development Report 2012); and the *Moving in-and-out of Poverty* publication. In 2003, Flora was awarded the T.W. Schultz Prize for best contributed paper to the 25th International Association of Agricultural Economists (IAAE) conference and the Gerald T. Gentry award for best graduate student research paper in the School of Agricultural Sciences at the Pennsylvania State University. She was also awarded the David E. Bell Fellowship in Population and Development Studies from Harvard University in 2005. Flora is a Malawian national. Before her doctoral studies, she was a Lecturer in Economics at the University of Malawi.

John Spriggs, PIM's work on Value Chains (Flagship 5)

John Spriggs obtained a Bachelor of Agricultural Economics degree (1970) from the University of New England, Australia and then a PhD in agricultural economics from the University of Minnesota (1977) as a student of the late Professor James Houck. From there he went to Purdue University and then the University of Saskatchewan where his research interests were in agricultural marketing and price analysis. During this time, his interest in developing country work was stimulated by his involvement in research and workshops in Indonesia, Iran, Poland and Zambia. In 1999, he returned to Australia to become Foundation Professor of Agribusiness at Charles Sturt University and while there established a graduate teaching and research program in agricultural value chains. In 2002, he moved to the University of Canberra (UC) where he became research professor in the Australian Institute for Sustainable Communities. At UC, he further developed his interest in agricultural value chains within a developing country context, using a participatory action research (PAR) framework and principles of community development. Through the generous support of ACIAR (Australian Centre for International Agricultural Research) he has undertaken a number of agricultural value chain projects in Papua New Guinea, Cambodia and now Pakistan. These projects have been increasingly multi-stakeholder and multi-discipline and have afforded him the opportunity to explore the use of PAR involving communities of both the multiple stakeholders and the multiple researchers. The most complex of these projects is the current one in Pakistan which he is co-leading (with Barbara Chambers) entitled *Social Research to Foster Effective Collaboration and Strengthen Pro-Poor Value Chains*.

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Willi Meyers, Panel Chair

Willi Meyers is the Howard Cowden Professor of Agricultural & Applied Economics, Division of Applied Social Sciences (DASS), and Director of CAFNR International Programs, University of Missouri. He previously was Professor of Economics at Iowa State University (1979-2003) and Service Chief and later Director, Agriculture and Economic Development Division of FAO-Rome (1999-2002). He served as Senior Fellow at University of Bologna (2011), Visiting Consultant at the World Bank (1999), and Visiting Professor at University of Kiel (1991). He co-founded the Food and Agricultural Policy Research Institute (FAPRI), led FAPRI-Iowa State for 15 years and was Co-Director of FAPRI-University of Missouri (2003-2010).

His PhD in agricultural economics with Willard Cochrane at the University of Minnesota and MS with Randy Barker at the University of the Philippines both instilled a strong emphasis on practical applications and policy analysis. Willi's career has been devoted to quantitative analysis of agricultural trade and policy interactions and impacts for the US and internationally; policy reforms and economic development in Europe's transition economies; and international agricultural and rural development policy. He has published widely in journals, books and proceedings as well as in CARD and FAPRI reports and other publications that serve the public.

Over his career, he has engaged in many policy evaluation, decision-making support, and technical assistance projects in Central and Eastern Europe, Asia, Latin America and Africa with funding from USAID, USDA, EU, FAO, Templeton Foundation, World Bank and the ADB.

Wolfgang Britz, Panel Member

Wolfgang Britz is senior researcher and lecturer in a tenured position at the Institute for Food and Resource Economics, University Bonn, where his research focus is on the impacts of agricultural, environmental and trade policies on the agricultural sector, the environment and rural areas based on quantitative analysis with different types of economic simulation models.

Dr. Britz regularly consults governments and international organizations such as the EU Commission, OECD or FAO based on quantitative impact assessments and in methodological matters relating to economic simulation models.

He developed the first versions of the CAPRI modelling system and since then contributed to its evolution as a global economic simulation model for trade in agricultural and food products combined with detailed bio-economic supply models for European agriculture. CAPRI is widely used for quantitative impact assessment of policies targeting the agricultural sector and applied in many research projects. Dr. Britz coordinated large-scale EU funded research projects focusing on CAPRI.

Stan Johnson, Panel Member

Dr. Stanley R. Johnson is recently retired from the position of Vice Provost for Extension and Charles F. Curtiss Distinguished Professor, Department of Economics, Iowa State University (ISU). Dr. Johnson has been highly active in leadership positions with the National Association of State Universities and Land-Grant Colleges (NASULGC). These have included Policy Board of Directors/Board on Agriculture Assembly (PBD/BAA), Chair of the Task Force negotiating extended cooperation with the Department of Energy (DOE), and past Chair of the NASULGC Legislative Committee and the Farm Bill Task Force for NASULGC.

Before being appointed as Vice Provost for Extension, Dr. Johnson was the Director of the Center for Agricultural and Rural Development (CARD) at ISU. Prior to his appointment at ISU in 1985, he held faculty positions in Economics and/or Agricultural Economics at the University of Missouri-Columbia, the University of California-Berkeley, Purdue University, the University of Georgia, the University of California-Davis, and the University of Connecticut.

Dr. Johnson is a Fellow of the American Agricultural Economics Association, Foreign Member of the Former Soviet Union Academy of Agricultural Sciences, the Russian Academy of Agricultural Science, the Ukraine Agricultural Academy of Science, and the Hungarian Academy of Sciences. He is also Honorary Professor of the Center for Rural Development Research, Chinese Academy of Sciences; and Honorary Professor of the National Ukrainian Agricultural University. He has received the American Agricultural Economics Association Award for Outstanding Policy Contribution, the ISU Wilton Park International Service Award, the International Honor Award of the Office of International Cooperation and Development, United States Department of Agriculture, and the Hall of Fame Award from the U.S. Department of Energy. He has an Honorary Doctorate from Western Illinois University and Alumni Awards from Texas Tech University and Texas A&M University.

Mohamed Ali Marouani, Panel Member

Mohamed Ali Marouani is Associate Professor in Economics at Paris1-Panthéon-Sorbonne University and Director of the Master Program “Economic Expertise in Development Policies”, of the Institute of Development Studies (IEDES). He is also Research Fellow of the Economic Research Forum, Research Associate of DIAL, Secretary General of the *Cercle des économistes Arabes*, member of the Editorial

Board of the Review of Middle East Economics and Finance and member of the DREEM network. He has been an Invited Professor of Cairo University, the *Université Libanaise* and the University of Tunis. His research focuses on the impact of public policies on employment and poverty, on the interactions between trade policy and development and on the interactions between economic research and policy making. He is consultant for various International Organizations, mainly the World Bank, the International Development Research Center (IDRC), the ILO/ITC and the UNDP. Mohamed Ali Marouani is a Tunisian citizen and was born in 1973.