

INCEPTION REPORT

Independent Review of the Consultative Group on International Agricultural Research (CGIAR System)

Review Panel
Elizabeth J. McAllister, Chair

November, 2007

Acknowledgements

The Review Panel wishes to acknowledge the extensive assistance of the CGIAR Secretariat in preparing this Inception Report, and the good advice of the Advisory Panel and of many shareholders and stakeholders.

Disclaimer

The opinions expressed in this report are those of the Review Panel, and do not necessarily reflect the opinions of the CGIAR or its shareholders.

Table of Contents

1. Introduction

- 1.1. The CGIAR System
- 1.2. The Objectives of the CGIAR Independent Review
- 1.3. The CGIAR Results-Based Framework
- 1.4. Previous Reviews
- 1.5. The Review Panel, Secretaries and Consultants
- 1.6. The Advisory Group and Commentators
- 1.7. Change Management
- 1.8. Limitations of the Review

2. Scope of the Independent Review

- 2.1. General Scope of the Review
- 2.2. Client for the Review
- 2.3. Period to be Reviewed (2001-2007)
- 2.4. Review Questions
- 2.5. Products of the Review: Panel Papers, Technical Papers, and Synthesis Report

3. Methodology

- 3.1. Review Standards (IEG Guidelines)
- 3.2. Information Sources and Methods
- 3.3. Visits to Centers
- 3.4. Structured Interviews
- 3.5. Meta-evaluation of the Impact of CGIAR Research
- 3.6. Meta-evaluation of the Challenge Programs
- 3.7. Entrance and Exit Workshops

4. Work Plans

- 4.1. Tasks and Schedule

5. Review Options and Recommendations

Appendices

- 1. An Example of a Review Questions Matrix
- 2. An Example of A Panel Paper Outline
- 3. Panel Members and Panel Secretaries, Short Curricula Vitae
- 4. Advisory Group and Commentators

1.0 INTRODUCTION

1.1 The CGIAR System

The Consultative Group on International Agricultural Research (CGIAR) is an association of 64 organizations interested in agricultural research and development. It was created in 1971. Its co-sponsors are the World Bank, which houses the CGIAR Secretariat and provides the CGIAR Chair and Director; the United Nations Food and Agriculture Organization (FAO), which houses the Science Council; the International Fund for Agricultural Development (IFAD), which houses the Alliance Office; and the United Nations Development Program (UNDP). The members of the Consultative Group are from both the public and private sectors (mostly the public sector), and from a wide range of countries.

The CGIAR provides fifteen international agricultural research centers with strategic guidance, financial assistance and a forum for interaction with donors.

The CGIAR system has several related but not vertically integrated components. These include the Consultative Group (64 members) and its Executive Council. The member/partners provide funding and strategic guidance to CGIAR in regard to agriculture, development and the poor. A Science Council that helps to maintain a high quality of science in the CGIAR System, by coordinating research priorities and by providing a forum for consideration of agricultural science issues. Fifteen legally independent agricultural research Centers are the core of the CGIAR and have formed an Alliance to facilitate collective action. A CGIAR System Office (SO)¹ helps administer the system.

The CGIAR Centers collaborate in research and research-related activities with many partners, to support, conduct and disseminate agricultural research that contributes to agricultural science and technology aimed at food sufficiency for the poor. The ultimate aim is sustainable development in poor countries and the attainment of the food-and-natural-resources-related Millennium Development Goals. Specifically, the mission of the CGIAR is to achieve sustainable food security and reduce poverty in developing countries through scientific research and research-related activities in the fields of agriculture, livestock, forestry, fisheries, policy and natural resources management.

In the past five years CGIAR has adopted a Charter, established an Executive Council (ExCo), created the Science Council in place of the previous Technical Advisory Committee, and launched Challenge Programs. In the last year, the 15 Centers have created the Alliance to facilitate and coordinate their activities. The Independent Review, of which this is the Inception Report, is an opportunity to analyze the effectiveness of these changes and to consider options for the future.

1.2 Objectives of the CGIAR Independent Review

The CGIAR conducts independent reviews periodically. The third such review concluded approximately a decade ago. This is the Inception Report for the Independent Review.

These reviews have traditionally had a broad mandate to consider the efficiency, effectiveness and sustainability of the CGIAR.

The Terms of Reference for this Review set out a broad set of questions for the Review Panel to answer. The Review Panel has also been asked to “assess whether CGIAR is well positioned to address emerging food security and agriculture-related problems of developing countries.”

In summary, the objectives of the Review are to take stock and assess the efficacy of the partnership, to assess the effectiveness of the CGIAR Research, and to make recommendations for the changes in the CGIAR system that will improve its efficacy and effectiveness in view of emerging challenges for food security, agriculture and natural resource management of the poor.²

The Review will also contribute to change management within CGIAR by bringing an independent perspective to key questions of impact and of governance. The Third System Review, completed in 1998, was followed by a change design and management (CDM) process and by an evaluation of the CGIAR by the World Bank Operations Evaluation Department (OED). The present Review was commissioned at a time when a new change management scoping exercise was already underway.

The Review has elements of meta-evaluation (that is synthesis of evidence collected by other evaluations and related studies). The Review Panel is able to draw upon many useful studies which over the past decade have identified best practices not only within the CGIAR but also in other global partnerships and programs. Identifying those best practices and relating them to the CGIAR is an objective of this Review. However the Review Panel will also collect its own information and make its own observations. Its objective is to gather sufficient information to be able to conduct a rigorous evaluation of the questions listed in its Terms of Reference.

The Terms of Reference for this evaluation indicate three inter-linked components as a conceptual framework for analysis:

1. Governance, Partnership, Management and Alignment of the CGIAR.³
2. The Scientific Work of the CGIAR.⁴
3. The Role of the CGIAR in International Agriculture and Natural Resource Research Systems.⁵

The context in which the CGIAR operates has changed dramatically since it was founded. The membership has greatly changed and its institutional arrangements also have changed. Intellectual property rights have become the focus of international debates. Some developing countries now have world-class national agriculture research facilities, and some are lagging. Science and communications technology have changed beyond recognition, creating new challenges and many opportunities for rethinking how and where agricultural research is done. As well, development institutions are challenged to find new paradigms that are different from increasingly irrelevant donor/recipient and north/south dichotomies. The importance of adaptation to climate change has become more apparent. Many other issues have come to the fore, putting at risk former gains in agricultural productivity, including greatly increased populations in some countries, loss of arable land

to urbanization and increased pollution and degradation of water and soils. CGIAR needs to find its new roles and priorities in this new and fast-changing context. There are questions in the Review Panel's Terms of Reference on the positioning of the CGIAR on research to development continuum and its comparative value added to international, regional and national systems. On the basis of its findings, the Review Panel will assess whether the CGIAR system remains relevant and is well positioned to make its best possible contribution to the current agricultural research needs of developing countries, including natural resource management, and, ultimately, to food security of poor people around the world.

1.3 The CGIAR Results-Based Framework

The World Bank's Independent Evaluation Group's guidelines for Global and Regional Program Reviews emphasize the importance of a results-based framework as the context for any evaluation.

The CGIAR appears to have several key elements of such a framework, including a process for indicating strategic research priorities and aligning programs and activities with them, External Program and Management Reviews and a periodic assessment and performance measurement system focused on the Centers.⁶ The Review Team will assess the adequacy of the results framework against the World Bank IED standards, and against international agreements reached at the Monterrey Conference on Financing for Development and in the Paris Declaration on Development Effectiveness.

1.4 Previous Reviews

There have been three independent reviews commissioned by CGIAR in the past. These Reviews reported in 1976⁷, 1981⁸, and 1998⁹. After the Third System Review, the CGIAR initiated a Change Design and Management (DCM) process in 1999, and, in 2000, formed a Change Design and Management Team (CMDT).¹⁰ The CMDT issued its report in April 2001, making recommendations for reform of the CGIAR System.

The World Bank, through its Operations Evaluation Department (now IEG), undertook an evaluation of the CGIAR in 2001-02,¹¹ making additional recommendations for reform. There have also been a number of studies that addressed relevant questions. These include papers on crosscutting, thematic or program topics, and various management reviews and impact assessments (including "stripe" reviews of a single topic across all Centers).

1.5 Review Panel, Secretaries and Consultants

A Review Panel, supported by consultants, will conduct the Review. The Panel will undertake research, commission and manage technical papers, and consult broadly with CGIAR stakeholders and shareholders.¹² The Panel has been appointed by the CGIAR, with the advice of an ExCo *ad hoc* advisory group.¹³

The Review Panel has five members. Collectively the members of the Panel have knowledge of the CGIAR, extensive experience in evaluation and review, and experience

in agricultural research institutions and the bilateral and multilateral development cooperation system. (See Appendix 4 for short curricula vitae.)

The Panel is supported by two Secretaries, with research and evaluation experience. In addition, the Panel will engage consultants to write particular technical papers in support of the work of the Panel and under the oversight of a Panel member in each case. (See Section 3.5 Technical Papers).

1.6 The Advisory Group and Commentators

An Ad Hoc Advisory Group was appointed by ExCo¹⁴ to guide the writing of terms of reference for the Independent Review Panel and the selection of the Review Panel. There is a proposal for an augmented Advisory Group to advise the Review Panel during the review, while respecting the independence of the review.

In addition to the Advisory Group, it is proposed to commission three reader commentators who would write a short commentary on the Report of the Review Panel. The proposed commentators might be study directors from previous Reviews, or evaluations of the CGIAR, or persons who have led similar reviews of other global institutions or programs.

1.7 Change Management

In April 2007, the CGIAR ExCo initiated a facilitated change management process as the next step in reforms that began with the recommendations of the Change Design and Management Team in April 2001. To manage the first phase of this process, ExCo established an ad hoc committee, or “scoping team”, consisting of two ExCo members, and representatives from the Alliance of CGIAR Centers, the Science Council, and partners. A consulting firm was engaged to assist the Scoping Team. At AGM 2007 in Beijing, the Scoping Team will propose the next phase of the Facilitated Change Management Process for 2008.

Based on discussions with the CGIAR Director on communications between the two, without compromising the Review’s independence, it is jointly proposed that the Change Process will concentrate in the first half of 2008 on “strengthening the system mindset” and “strengthening trust and empathy” while further identifying issues to be addressed. It is also jointly suggested that “formal change plans” not already proposed and underway in the Facilitated Change Process¹⁵ will incorporate the Review Panel’s recommendations from its July 2008 draft report. In the meantime, the Review Panel will provide technical papers in early 2008, when they are available in discussion form, to the Change Management Teams. It is further suggested that the Chairperson of the Independent Review will join the Change Steering Team as one of two “external advisors”. There will be open and full communication between the Chairs of the four Working Groups in the Change Process team and the Panel members on issues of common interest. This will include the Panel being informed of the working groups’ agendas and key documents and having the option of sending observers to meetings of interest to the Panel’s research.

1.8 Limitations

The time allocated for the review is short, given the breadth of the questions in the Terms of Reference. Previous Reviews have taken much longer to complete than the anticipated timeframe for the present review. One lesson drawn from previous Reviews was that it is preferable to be realistic about the time and resources required for an adequate review, especially since such a review is commissioned by the CGIAR relatively infrequently. In addition the present review is charged with assessing impact as thoroughly as possible, although on the basis of existing evidence, and also charged to be as rigorously analytical as possible.

On the positive side there are many studies of aspects of the CGIAR to draw upon, although some of them may not meet the standards of rigor and independence required by the World Bank Independent Evaluation Group guidelines.¹⁶ Also on the positive side the members of the Review Panel bring a great deal of experience and expertise to the task. However, on the other hand, this means that they have other commitments that must be managed at the same time as the Review.

The Review Panel is concerned that a change management exercise is being conducted simultaneously with the Review. A more usual approach would be to complete the Review first and then to design a change management exercise in light of the findings and recommendations of the Review that are accepted by the CGIAR. Simultaneous review and change initiatives run a risk of premature action, although, to be fair, one might reasonably argue that there may be valid recommendations from previous studies of the CGIAR that are not fully implemented and that provide scope for change initiatives. A certain impatience for action is understandable. The response burden on CGIAR members to have these efforts proceeding simultaneously may be significant and care needs to be exercised that certain lines of information gathering that the Review Team might otherwise have pursued are not foreclosed.

2.0 Scope of the Independent Review

2.1 Scope

The Independent Review of the CGIAR System has an appropriately broad scope, similar to that of previous Reviews. It covers the impact of the CGIAR, its partnerships, and its governance and management, as set out in the Review's Terms of Reference. The Section above on the objectives of the Review gives additional details.

2.2 Client for the Review

The CGIAR is the client for the Independent Review. The final report of the Review will be presented to the Executive Council and to the CGIAR membership for its consideration at AGM 2008.

2.3 Period to be Reviewed (2001-2007)

The CGIAR has undergone independent evaluations several times in its 36-year history. The Third System-Wide Review was completed in 1998. This was followed by a Change

Design and Management Process; and by a major study by the World Bank Independent Evaluation Group.

The result of this round of studies was a period of governance reform and related initiatives starting about 2001. This present Independent Review will therefore focus on the period from 2001-2007, although in some cases it may look at longer trends.

2.4 Review Questions

The Terms of Reference for the Review set out 32 questions to be addressed by the Review Panel. The Review Panel has grouped related questions together and will produce four Panel Papers, one for each major group of questions. Within each major group several “work packages” have been defined (See Appendix 2 for an example). Each work package is led by a Panel member. The four topics for Panel Papers and their component work packages are listed in Table 2.4.1.

Table 2.4.1 Panel Papers

Paper 1: CGIAR Overview
<ul style="list-style-type: none"> • Analytical Profile of the CGIAR (structure, resources, activities, and outputs) • CGIAR and Global Public Goods • Resource Allocation Processes, Expenditures and Financial Management • Management for Development Results and Performance Monitoring
Paper 2: Governance, Management and Alignment
<ul style="list-style-type: none"> • The CGIAR System: An Overview of its Partnership Relations • Alliance • Executive Council • The CGIAR Secretariat • System Office and the Secretariat • CGIAR’s Members/Sponsors
Paper 3: Effectiveness of CGIAR Centers’ Research
<ul style="list-style-type: none"> • The Science Achievements of the Centers: Quality, Relevance and Impact • Agricultural Research and Poverty Reduction: Challenges for the CGIAR • The Science Council • Strategic Programs: Challenge Programs, Eco-Regional Programs
Paper 4: Partnerships
<ul style="list-style-type: none"> • Research and Dissemination Partners: CGIAR-NARS/ARI Relationships • Center-to-Center Partnerships • Research and Dissemination Partners: Private Sector • Research and Dissemination Partners: CSOs

2.5 Technical Papers

The Panel Papers and their component work packages may be supported by technical papers. A “technical paper” will be a professional output but the Panel, as such, may not necessarily agree with its perspective or with its conclusions.

In some cases the technical paper may be produced by a Panel Member, or by a Panel Secretary, and in some cases it may be contracted to a consultant, with oversight by a Panel Member.

The technical papers are not yet fully defined, although some possibilities have been identified. (See Table 2.5.1).

Table 2.5.1 Possible Technical Papers

1. Development Challenges in Agriculture, Agricultural Research and Poverty Reduction (an assessment of the implications for the CGIAR of recent evidence including that presented in the World Development Report 2007)
2. Financing Agriculture and Agricultural Research: New Thinking in Development Finance. ¹⁷
3. Roles of the CGIAR Co-sponsors, including the World Bank.
4. Gender and Diversity in the CGIAR.
5. Best Practices in the Governance of Global Programs and Partnerships – A Comparative Perspective and Implications for the CGIAR
6. Knowledge Management in Agricultural Research including Management of Intellectual Property Rights and Implications for the CGIAR.
7. Global Public Goods in Agriculture and Research, and the Implications for the CGIAR.
8. Best Multilateral Practices in Resource Allocation and Implications for the CGIAR.
9. Best Practices in Strategic Research Grants Programs Similar to the Challenge Programs
10. Best Practices in Public-Private Research Partnerships and Implications for the CGIAR.

2.6 Reports of the Review

The Review Panel will prepare four Panel Papers and, finally, will synthesize those papers into a final report that will make clear and actionable recommendations. (See Table 4.1.1) The final report will be a concise document of perhaps 50 pages.

In addition the Review Panel may prepare briefings (for example a briefing to the World Bank Agriculture and Rural Sector Board prior to that Board's recommendation to Development Grants Facility in regard to 2007 CGIAR funding).

3.0 METHODOLOGY

3.1 Review Standards

The standards for an independent review have evolved since the Third System-Wide Review ten years ago. The World Bank's Independent Evaluation Group has recently issued the "IEG Guidelines for Evaluating Global and Regional Program Reviews (GRPRs).¹⁸ It is essential that the present Independent Review meet those standards.

At the same time the international community has articulated review standards through the OECD-Development Assistance Committee.¹⁹ At a minimum the Review must cover the core criteria for evaluations set out by the OECD-DAC – that is, relevance,²⁰ effectiveness or efficacy,²¹ efficiency,²² sustainability²³ and impact.²⁴ (OECD-DAC IEG *Sourcebook for Evaluating Global and Regional Programs*.)²⁵

In addition, the World Bank Independent Evaluation Group (IEG) has a mandate to assess the adequacy of evaluations of Bank-funded global programs, such as the CGIAR Review, against the Bank's "Review Framework for Global and Regional Public Reviews," which expands on the OECD-DAC criteria. At a minimum the IEG will expect the CGIAR Independent Review to cover the core DAC criteria plus "governance and management" which should include World Bank performance. IEG may also comment on the process used to govern the CGIAR Independent Review and, in particular, the process to protect the independence of the Review according to criteria drawn from the "Template for Assessing the Independence of Evaluation Organizations" produced by the Evaluation Cooperation Group of the Multilateral Development Banks²⁶

3.2 Information Sources and Analysis Methods

The Review Panel will use all research methods appropriate to such a review (See Section 3.1 Review Standards). As with previous independent reviews, the Panel will rely on existing evidence to a considerable extent and will not conduct or commission direct measurement of the impact of the CGIAR Centers and programs. The Panel will gather information from a wide variety of sources. The sources of information will include:

- Review of the extensive literature²⁷ of reports previously commissioned by CGIAR or by CGIAR's stakeholders and shareholders, and other documents relevant to the development impact of CGIAR.²⁸ This will include pertinent development literature (including independent academic research on the CGIAR)
- Examination of previous independent reviews, and major evaluations conducted by CGIAR Members, including the independent World Bank OED Meta-evaluation of the CGIAR.
- Evaluations of other Global Programs
- Examination of the information collected by the CGIAR Performance Measurement (PM) System and other information on the accountability and transparency of the System.
- Examination of financial information in CGIAR pillar offices and the centers.
- Information on governance and management of the CGIAR system.
- Documents on financial risk management.
- Structured Interviews, surveys and ideally facilitated group discussions with stakeholders and shareholders.²⁹
- Visits to the Co-Sponsors, CGIAR's administrative and coordinating units, and to the CGIAR Centers.
- Information may be gathered, as well, through specific Technical Papers. (See Section 2.5)

Methods of analysis, including syntheses of evidence, will be developed by the lead Panel Member for each Paper. The terms of reference for Technical Papers will relate each to a

Panel Paper. The Final Report of the Panel will be organized around standard criteria of development effectiveness, including relevance, efficacy, efficiency, sustainability, governance and institutional development, and comparative value.

3.3 Visits to Centers

Panel members will visit selected Centers during the course of the Review. The visits are not to evaluate some Centers individually but rather to enable the Panel members to develop an in-depth understanding of the Centers collectively, based on a reasonably large sample (perhaps eight centers), and to consult in depth with Centers on the Review questions. This is vital to a successful Review.

The Panel will prepare for its visit to each Center by conducting interviews with Directors General and Board Chairpersons at AGM 2007. As well, the study team will prepare an analytical brief describing each Center to be visited. The briefs for Centers to be visited will be in a standard format.³⁰ In preparing the brief, the study team will correspond with the Center, and review documents including the EPMR(s).

On average the Review team expects to spend three person days on site at each Center, or approximately one 'person week' per Center, including travel. Most time will be spent at the Center but the Panel member may take the opportunity to visit one or more stakeholders in the vicinity. The expected interviews and group discussions are summarized in Table 3.4.1. The minimum interviews will include the Director General, the Board Chairperson, two senior scientists, two young scientists and a representative of one stakeholder organization.

Key topics to be addressed during Center visits include: Focus of the Center (strategy, scenarios); Funding (restricted and unrestricted, other resource mobilization), stability profile, and financial performance; Productivity of the Center (outputs); Impact of the Center (outcomes); Strength of partnerships (specific links within CGIAR and outside); Perceptions of the value-added of the CGIAR (incremental funding, scientific priorities advice, challenge programs, and administrative support); Willingness to embrace possible reforms to the CGIAR system.

3.4 Consultations

The Review Panel will consult with stakeholders and shareholders through structured interviews and discussions. Where possible these will be in person. Where an in-person discussion is not possible, the interview will be held on the telephone. If personal contact is not possible, even by telephone, the person will be sent a questionnaire by email and regular mail and invited to send it back to the Review Panel. Information collected in these interviews will be held completely confidential and no names will be linked to specific information reported to CGIAR or to anyone else.

Panel Members and Panel Secretaries will conduct in-person interviews, individually and in small groups, during meetings of ExCo, the Science Council, the Alliance, and at the AGM 2007. They may also conduct some telephone interviews. Some telephone interviewing, using structured protocols, will be conducted by senior consultants. Strong

efforts will be made to elicit information that is representative of the opinions and observations of each group. In this regard, two points are important. First, where there are more persons in a particular category than is practical to interview within the time and resource constraints of the Panel, a stratified random sample will be drawn. Second, the research team will make a strong effort to elicit a high response rate from the sample.

Table 3.4.1 lists the groups of shareholders and stakeholders from whom the Review Panel will solicit information. The membership of the various groups overlaps so the total number of interviews will be less than the simple aggregate of sample sizes. That is, some respondents will represent more than one group.

Table 3.4.1: Stakeholder and Shareholder Consultations: Sampling

Stakeholders/Shareholders	Sampling Frame ³¹	Sample to Be Interviewed
1. Scientist Peers outside Centers	Not limited	10
2. The Centers		
Directors General	15	15
Board Chairpersons	15	15
Senior Scientists	Not limited	12-15
Younger Scientists ³² (under 35 years of age)	Not limited	12-15
3. Co-sponsors		
World Bank (donor principals ³³)	05	05
World Bank (oversight groups ³⁴)	05	05
World Bank (senior general managers)	05	05
FAO	02	02
IFAD	02	02
UNDP	02	02
4. CGIAR Members (2001-2007)	64	64
5. Non-Members		
Lapsed Members	To be determined	
Prospective Members but Never Joined	To be determined	
6. ExCo Members (2001-2007)	Approx. 35	35
7. CGIAR Chairs and Directors (Exec. Sec.)	4	4
8. Science Council/TAC Chairs	2	2
9. Science Council Members (2001-2007)		
10. Professional Staff		
CGIAR Secretariat	23	23
SC Secretariat	10	10
System Office: Heads of Units	09	09
Alliance Office	02	02
11. NARs	To be determined	10
12. CSOs		
12. CSOs	Not limited	05
ARIs	Not limited	05
NGOs	Not limited	05
Private Sector	Not limited	05

3.5 Meta-evaluation of the Impact of CGIAR Research

The fifteen international agricultural research Centers³⁵ that constitute the functional and operational scientific core of the CGIAR System plan develop and implement research and produce research-related global and regional public goods. The Centers conduct research

in agriculture, crop production, livestock, forestry, fisheries, natural resource management, and institutional innovation, aiming to enhance food security, reduce hunger and poverty, foster human nutrition and health, promote agricultural growth and protect the environment in developing countries.

The quality and content of science at the Centers, the degree of success it has achieved in fulfilling its mission, and the impact it has made on agriculture and the welfare of the rural population in the developing world are key to the current Review.

The Review of CGIAR science outputs, outcomes and impacts will largely rely on existing studies. That is it will be a meta-evaluation, compiling and synthesizing existing evidence on the relevant questions that the Review Panel has asked to address.

There are many existing sources of evidence. For example, the results achieved by the Centers are regularly evaluated through self-assessments and Center-sponsored external reviews. There are 5-yearly EPMRs organized by the Science Council and CGIAR Secretariat; and inter-Center Stripe Reviews organized by the Science Council. The SPIA undertakes impact assessments, and donors have sponsored periodic assessments. There were two papers in support of the World Bank OED study in 2001-02 that used meta-evaluation techniques to assess certain areas of research by the CGIAR Centers.

This meta-evaluation of the impact of CGIAR Centers will cover the period 2001-2007, with some references to longer trends. It seeks answers to a number of questions. The first important question is to ascertain whether the research priorities of the Centers have indeed been directed, largely, to the needs of the smallholders and the rural poor in the developing world. How have the CGIAR research funds been allocated among the system priorities, and among the individual research sectors within each priority area? Has the CGIAR research system significantly assisted smallholders adjust to changing conditions?

The impact of CGIAR research can be assessed from many different angles, including its direct impacts, indirect impacts, and unintended impacts. The Review Team will look into the degree and nature of yield improvement and productivity growth (for crops such as wheat, rice, maize, vegetables, fruit, and non-crop products such as livestock products, fish, forest products, etc.); expanded agricultural employment (for some countries, separately for male and female workers); agricultural wage improvement; increased earnings from agriculture, and other impacts.

The available evidence would be collated to see whether food security among smallholders has been improved by research. To some extent there may be evidence related to effects on land tenure, the intensity of cultivation, non-farm employment of land-poor rural households, total household earnings of the smallholders and the landless, decreases in poaching of forest land by the rural poor, healthier crop rotations, food prices among the lower-income strata of the rural society, and human capital among farming households.

Unintended effects could include stagnation in yield rates for specific crops in specific regions, as proxies for technological lulls and land fatigue; declines in water tables as surrogates of unintended resource depletion; or increasing marginalization of land and

agrarian disputes. In summary, the Panel will enquire whether there is evidence of links between the CGIAR research and overall agricultural productivity and growth rates, with consequent impacts on poverty.

The Meta-evaluation would also venture to see if the CGIAR Centers have learned well from their own experience. Do their vision documents, medium-term plans and agreements prompt them to re-orient their research to respond to climate change (e.g. changing pattern of rainfall, droughts, floods and storms); land degradation (land fatigue, fragmentation and marginalization of landholdings; over-chemicalization); the quantity and quality of irrigation water (depleting water tables, highly water-intensive crop combinations, brackish water); competing demands on dwindling land resources (grains/corn production for rising human/animal consumption in competition with steeply increasing demand from bio-gas/ethanol industry); and increasing urbanization and changing food habits in the developing world.

Finally, with the rising pace of CG-Centers' partnership with the private sector in recent years, how much of the research agenda is being driven by market forces and is this problematic given the original CGIAR mission of need-driven research. Tied with this is the question of the sharing of intellectual property rights. Is there an indication, as is feared in many developing countries, international development agencies, and CSOs, that the market-driven crucial input price regimes have adversely affected the production base of the marginal and small farms in the developing world? Has the CGIAR remained well-defined, mission-oriented, transparent, patent-wise accountable, and internationally orchestrated?

Some informative documents are likely to include: Centers' Annual Reports, Centers' Vision Documents, Center's commissioned impact assessment studies, direct interviews with the Center DGs, Board Chairmen, research scientists, etc., to take note of the Center's claims; and EPMRs, CGIAR and Science Council commissioned reviews of Centers, individual CGIAR member commissioned evaluation such as World Bank-OED meta-evaluation (2003), other donor-supported studies, etc., besides core CGIAR documents such as the Charter, CGIAR/ExCo decisions. Finally, views of scholars and public analysts, in academic writings, would also prove to be informative, especially for drawing our attention to any negative impacts.

Understandably, the evaluation will have limitations. For example, claims by Centers to have caused yield improvements through research need to be put in context. There are often other factors. Other research agencies (e.g. NARs) have often contributed. Similarly many other poverty-eradication initiatives may also be at work. Nevertheless, a careful study of the documents is expected to identify plausible incremental effects.

3.6 Meta-evaluation of the Challenge Programs

Challenge Programs (CPs) were established by the CGIAR in 2001, as time-bound, independently-governed programs of high-impact research to target CGIAR goals in relation to complex issues of global and/or regional significance.

This Meta-Review of the Challenge Programme will be based on an examination of the extent to which CPs have addressed four objectives:

- (1) Improving CGIAR's global relevance and impact,
- (2) Improving greater integration, efficiency and cohesion amongst Centres,
- (3) Improving partnerships with non-CGIAR research organizations (ARIs, NARS etc)
- (4) Mobilizing more stable and long term financing, by members and externally

There are presently only four ongoing or developing CPs: Generation, HarvestPlus, Water and Food and a CP for Sub-Saharan Africa. It is premature to evaluate impacts on any of these, and even outputs in most cases. Therefore, this Review will examine their progress so far and their future plans in light of their declared objectives. To do this, a simple hypothetical model for a successful CP will be created, against which existing CPs can be compared.

Documentation on the rationale for, and establishment of, the CPs will be reviewed and discussions will be held with the Secretariat, Science Council and Alliance to scope and refine the methods proposed below, and to identify sources of information. The assessment of how well CPs have delivered on their four objectives will be based on information in Annual Reports and MTPs, and, particularly, the recent External and Internal Reviews of three of the CPs. Most CPs have also had donor commissioned reviews, which would be considered. The reasons for differences between CPs will be assessed based on External Reviews and interviews.

Have CPs improved Centre performance on these four objectives relative to "conventional" research programme? To assess this, several Centers involved in CPs will be asked to provide information on similar projects, and these will be compared with CPs with respect to global relevance, centre integration, partnerships and investment. A comparison with System-Wide and Ecoregional Programmes will also be made, based only on the 2006 Meta-review of the SWEF programmes. Additional work may be undertaken to gain more insight on performance on specific objectives. Have CPs brought substantial new research funding into the CGIAR? This will be assessed using the analysis of recent CGIAR funding to Centers and programmes prepared for the main review. Is the CP partnership model successful? A study in the full CGIAR review on partnerships will be used to characterize effective and successful partnerships, against which CP partnerships can be compared. Selected interviews with partners will also contribute to this analysis (see below).

There is a view within the CGIAR that CPs have not yet realized their potential. Has the process of CP development been effective in developing programs, and is there an indication that this is changing or improving? To address this, an examination will be made of the process for soliciting, evaluating and selecting proposals, to identify aspects which support or do not support the four objectives above. This will make use of (1) guidelines and procedures for CP proposals, (2) records of assessment panels for successful and unsuccessful projects (which will be treated confidentially), (3) External Reviews and records of ExCo and other discussions of CPs, (3) interviews (see below). Particular attention will be paid to the alignment of proposals to CGIAR objectives and the competitive bidding process.

The full CGIAR Review includes a Technical Paper that compares the CGIAR to other (global) programmes for strategic research. The TORs for this Paper will include description and analysis of systems for competitive project funding, which will be used in this Meta-review. In addition, the Independent Review Team will gather information about the CP grant process from two institutions expert in competitive agricultural research funding, one national and one international. A set of proposal briefs and their evaluations, to include successful and unsuccessful proposals will be provided to experts in grant assessment and they will be asked to comment on the quality of assessment and the appropriateness of the assessment process design. This may involve two short (1-2 days) consultancies.

The CPs have been identified as possible models for the future migration of CGIAR funding and projects from a Centre-based to a programme-based approach. A short assessment will be made of this potential, comparing the results of the analysis above to stated plans for CP and programme development. This will make use of documents prepared for Systems Priorities and their funding, and interviews.

As part of the CGIAR review, structured interviews will be organized with members, partners, Centers and other stakeholders. Questions relevant to CPs will be included in these reviews, and Centers and partners will be selected to ensure feedback from some which are involved in CPs. Interviewees will be asked for their opinion on how successful CPs have been relative to the four objectives above, and on what “success” would look like (i.e., exploration of which CPs are most successful, or how would CPs need to change to be successful).

3.7 Entrance and Exit Workshops

The Panel will conduct Entrance Workshops (relatively informal group discussions) at ExCo (Rome, October 2007) and AGM (Beijing, December 2007). The purpose is to discuss the questions that the Review Panel should consider (review priorities), both in the Terms of Reference and related questions, and to discuss what factors should be taken into account in relation to these questions.

Exit Workshops will be more formal. They will focus on testing the findings of the Review Panel and, as such, each will cover a wide range of issues. There will be three Exit Workshops (one hosted by a Center in a developing country, one in Washington D.C., and one in Rome), sponsored by one or more donors.

Participation at an Exit Workshop will be by invitation. The Workshops will be small to facilitate discussion – approximately 20 people.³⁶ There will be translation and professional facilitation. The product of each Exit Workshop will be a Proceedings, and Resolutions of the Workshop if any.

4.0 WORK PLANS

4.1 Tasks and Schedule

Independent Review of the CGIAR System

The Review Panel met for the first time at Executive Council in Rome in October 2007. The Panel considered its Terms of Reference and planned the Panel Papers (and related work packages) that would need to be completed during the Review. The key target is for the circulation of a draft report, for comment, by the end of July 2008.

The Panel has divided its work, for convenience, into six phases. (See Table 4.1.1) The most intensive work period is expected to be from January 1, 2008, to May 31, 2008, (Phases 2 “Information Collection and Analysis Phase” and 3 “Draft Report Preparation Phase”). During this period the Panel will be collecting and analyzing information relevant to the review questions.

Table 4.1.1: Independent Review Milestones

		Panel Meetings	Products
(1) Planning and Inception Report			
Team Draft	Nov 16		
Circulation Draft	Nov 22		
Panel Meeting(Beijing)	Dec 01-06		
AGM Presentation	Dec 06		
Finalized Inception Report	Dec 14		Inception Report
(2) Information Collection and Analysis			
Structured Telephone Consultations	Jan. 14-25		Data Report
Meta-Evaluation of Studies of Impact	Jan. 07-25		Meta-evaluation
Center Visits	Feb 12-17		
Panel Meeting (Washington)	Feb 23		
Advisory Group Meeting			
Progress Report	Feb 27		Progress Report
Oral Presentation to WB Sector Board	Mar 3		
Set 1 Technical Papers	Feb 23		Technical Papers
DGF Presentation	April 09 (?)		
(3) Draft Report Preparation			
Set 2 Technical Reports	March 30		Technical Papers
Panel Meeting (London)	May 01-02		
Advisory Group Meeting			
Discussion PowerPoint	mid-May		PowerPoint DECK
(4) Consultations on Draft Report			
Exit Workshops (at 2 Centers:Italy and Asia)	June 16-20		Proceedings
Exit Workshop (Washington)	June 27		Proceedings
Panel Meeting (London)	July 09-11		
First Circulation Draft Report	July 29		Draft Report
(5) Final Report Phase			
Panel Meeting (Washington)	August 18-19		
Panel Meeting (London)	September 04-05		
Final Report (Circulation)	September 11-12		Final Report (v1)
(6) Follow-On Discussions and Revisions			
ExCo Presentation	October		

Independent Review of the CGIAR System

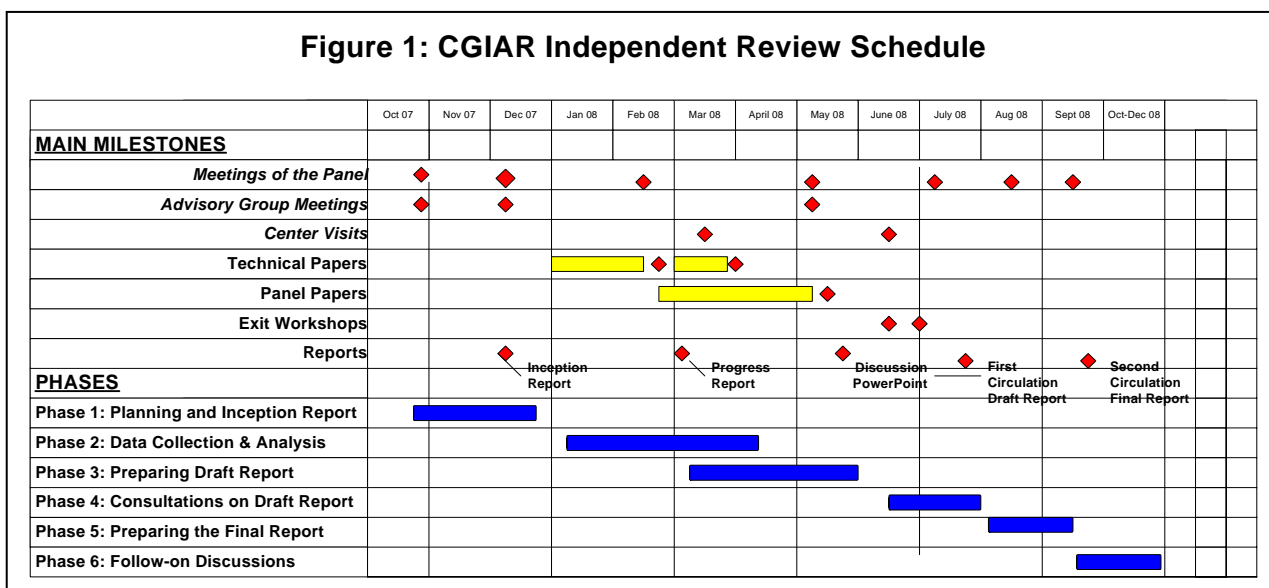
Revised Final Report	November 08		Final Report (v2)
AGM Presentation	December 08		
Final Report	December 08		Final Report (v3)

An update report on the work of the Panel will be available at the end of March. A “Discussion Power Point” to support consultations is also expected by mid-May. Exit Workshops at which findings would be discussed are scheduled for mid-June. A draft final report for circulation is scheduled for the end of July. The final report (second circulation) will be substantially completed by early September and circulated for further comment. Follow-on discussions, including at ExCo in October 2008 will lead to a final presentation to AGM 2008.

In summary, the main milestones for the Review will be:

- Inception Report December 2007-11-14
- Technical Papers (1) February 30
- Progress Update February 27
- Technical Papers (2) March 31
- PowerPoint (Early Findings, Observations) mid-May
- Draft Report (Circulation) July 29
- Final Report (Circulation) September 11

Figure 1 (below) shows the milestones and phases for the Independent Review as presently envisaged.



APPENDIX 1: Example of a Review Matrix

Evaluation Matrix for the CGIAR Challenge Programs (Lead J. Waage)

Key Questions	Judgment Criteria	Info Required	Info Sources	Data Collection	Data Analysis	Limitations
How effective are the Challenge Programmes in terms of partnership models that they use?	Evidence that CPs extended scope and quality of CGIAR partnerships, increasing impacts and building capacity, relative to standard activity?	Assessments of the nature and scale of CP partnerships relative to other CGIAR activities and other models of development partnerships	CP Annual Reports, CP Reviews for SSA (IAR4D), Harvest Plus and CPWF; record of CP proposals and evaluations (successful and unsuccessful) sets of other CGIAR projects for comparison. Info from partners: private, NGO, NARs and Alliance/Centre	Establishment of metrics – e.g. partner type, investment in/frm partner, capacity bldg, outputs. Sample CP projects, proposals and non-CP projects for comparison. Interviews with selected partners from current and planned CPs (see left)	Comparison of partnership metrics (no.s, types, etc.) for CPs, and with non-CP projects Selection of CPs.to reveal patterns. Analysis of questions to partners on their engagement, commitment, benefits, to pull out differences	CPs are only just started, and the three in operation are extremely different vis a vis partnerships. Limited scope for direct comparison, and little data will be available on outputs, much less impact and outcomes.
	Comparison with other partnership models currently in use.	Information on design and evaluation of CPs, and on other partnership initiatives.	As above, and also literature and reviews of global vaccine, drug and other partnerships. Interviews with partners as above	Creation of a common format on which to compare models – e.g. governance, funding (planned vs. competitive), management	Comparison of different models and relating success or failure to differences in model features	Difficulty in making cross programme comparisons – most other models will be health related
How effective are Challenge Programmes with respect to their research outputs and likely impact?	CPs select best science and effectively address key global CGIAR development opportunities & competencies	Assessment of science quality, relevance to System Priorities and impact (or potential) of CPs relative to other	Sources above: CP reports and reviews, Canters projects, info on science aspects of other models, interviews with	Kinds of science supported by CPs relative to other CG activities (e.g. basic, strategic), CP proposal assessments	Comparing the kinds of science done between CP and other CGIAR research Interviews to get	Lack of evaluation of CP programme science output limits comparison, but reviews have relevant information

Independent Review of the CGIAR System

Key Questions	Judgment Criteria	Info Required	Info Sources	Data Collection	Data Analysis	Limitations
		CGIAR and other research schemes	Science Council and partners, especially Alliance	(no completed projects as yet)	subjective view of comparable science quality	
How effective are Challenge Programmes at mobilizing more stable, long term financing	CPs improve the commitment and level of sponsors funding for CGIAR research and attract new sponsors	Patterns of income over time from CPs relative to other streams with return on investment, donor support, continuity	Centre budgets with project allocations, sources, and duration. Interviews with donors (CG and non-CG)	Patterns of investment over projects and time for different donors, interview questions on CP attractiveness & investment plans	Comparing per Centre funding of CPs relative to other funding. Presentation of donor patterns, projected on basis of views in interviews	CPs are too young for a clear measure, but a qualitative measure of donor "change commitment" should be possible

APPENDIX 2: Example of a Panel Paper Outline

Panel Paper 1 Part C: Funding, Resource Allocation, Costs and Financial Management

Introduction:

This paper will describe the income and expenditures of CGIAR, how resources are allocated, and whether finances are managed well.

Lead: Elizabeth McAllister

Deputy lead: Gopal Chandha

Readers: (Panel Member), Jeff Waage, John Mugabe.

TORS Questions:

1. Is the current financing structure for the system appropriate?
2. Is the CGIAR constricting or creating synergies for aligning the funding?
3. What is the role of unrestricted resources in supporting the system, including the reform program?
4. How has the decline in unrestricted funding affected the system as a whole, particularly its governance and its ability to deliver research products that contribute to the fulfillment of the CGIAR mission?
5. How effectively does the system deal with financial risks?
6. What are the costs, including transaction costs, and benefits of the governance structure?
7. Is the distribution of these costs and benefits among the three pillars appropriate to enhance the implementation of the mission of the CGIAR?

Related Questions:

1. What are the CGIAR costs in total and by activity?
2. What are the “core activity” and “overhead” costs of the CGIAR?
3. Are resources allocated well by CGIAR’s donors, including the World Bank, according to need, potential and institute/center performance?
4. Should more funds be pooled and allocated by the CGIAR itself?
5. How are unrestricted CGIAR funds allocated/used by recipient centers? (Is attribution possible?)
6. What funding instruments are being used by CGIAR and the centers?
7. Is there a CGIAR strategy to promote centers’ increasing financial independence/ sustainability over time?
8. Have increases/decreases in resources over time made a significant difference? (Loss of scholarship/fellowship programs at the Centers?)
9. What are the mechanisms by which donors channel their support to CGIAR and System entities?
10. What are some of the financing arrangements and instruments employed with the System to support and encourage System entities or external partners in a financial way?

11. To what extent do issues of financing agricultural development, including agricultural research, figure within CGIAR's work agenda?

Relevant reports/studies:

- Wadsworth, Jonathan, Chair, Ad Hoc Committee on Funding System Priorities (2007, September). *Final Report*. For discussion at ExCo 13.
- Science Council. Finn, Norman Christensen. (2006, May). *Positioning the CGIAR in the Global Research for Development Continuum*. Also the Proceedings of the AGM 2005 where the report was discussed.
- Proceedings of Member Coordination Forum held at AGM 2006, including background documents
- CGIAR Secretariat. (2007, April). *RiskLow. A New Comprehensive Program to Address Financial Risk Management in the CGIAR System*. A Think Piece by the CGIAR Secretariat
- CGIAR evaluation, monitoring, review and other study reports, including annual reports of the Centers, Alliance and other System entities. Various years
- CGIAR, Ad Hoc Committee on Funding System Priorities (2007, September). *Final Report*. For discussion at ExCo 13.
- Kaul, Inge. *The New Public Finance*. New York: OUP, 2006.
- Masters, William A. "Paying for Prosperity: How and Why to Invest in Agricultural Research and Development in Africa." *Journal of International Affairs*, 58(2) 2005.
- Pardey, P.G. et al, eds. *Agricultural R&D in the Developing World: Too Little, Too Late?* Washington D.C.: IFPRI, 2006.
- Various articles in journals of agricultural economics.
- World Bank. *WDR 2008 on Agriculture for Development*. Washington DC, 2007.
- Bezanson, K. Sagasti, FR et al *The Future of Development Financing: Challenges Scenarios and Strategic Choices*, University of Sussex for UNDP 2005

Related Technical Papers (Commissioned by Panel):

- Financing Agriculture and Agricultural Research: New Thinking in Development Finance

APPENDIX 3: PANEL MEMBERS AND PANEL SECRETARIES – SHORT CURRICULA VITAE

Panel Chair: Elizabeth J. McAllister

Elizabeth McAllister is a former Director of the Operations Evaluation Department (OED) of the World Bank. Other positions in the World Bank Group included Director, External Affairs and United Nations Relations; Director, Special Projects, Strategy & Resource Management Vice Presidency; and Special Advisor to the Vice President on managing for results in the East Asia and Pacific Region.

As Director for OED, she led major evaluations of programs such as the Special Partnership for African Development. She directed more than 100 professionals, and led OED through a change process that linked its work plan to the Bank's policy agenda and scaled up its products to country, thematic/sector, and global reviews, from a previous focus on project evaluation. She encouraged multi-disciplinary analysis and fostered the inclusion of new perspectives through the use of external advisory committees and intensive workshops with Bank staff, country representatives, industry and civil society representatives and organizations, and other donors.

As Director of the External Affairs Vice Presidency, Ms McAllister was responsible for the Bank's offices at the UN, in Europe, and in Japan. She managed teams responsible for development communications, for relationships with developed country governments, and civil society, and for the Bank's publications. In her work with the World Bank's Strategic Resource Management Vice-Presidency, Ms McAllister led a high-impact initiative to include results-based performance contract agreements for each Vice Presidency.

She assisted the East Asia and Pacific Vice President and the Region Management Team by undertaking a "flagship" review of the results achieved through the Banks investments, work which was considered "ground breaking." It led to a consequent reform of the EAP's Country Assistance Strategy results frameworks, and has encouraged greater collaboration among the sectors in the region to work towards common outcomes with harmonized measures to improve decision-making.

Ms McAllister has held senior positions in the CIDA including the Director General of Performance Review Branch; Director General, Latin American and the Caribbean; Director, China Program; Counsellor, Canadian Embassy Indonesia and Director, Women in Development. She has received a number of awards for community service and leadership, including a 1994 Governor General's Commemorative Medal in recognition of significant contribution to Canada. Her education includes a Master of Public Administration from Harvard University and a B.A. (Political Science) from the University of New Brunswick. She is Adjunct Research Professor in the School of Public Policy and Administration, Carleton University.

Panel Member: Gopal K. Chadha

G.K. Chadha is a Member of the Economic Advisory Council of the Prime Minister of India. He is Professor Emeritus at Jawaharlal Nehru University, New Delhi (from where he recently retired as Vice-Chancellor), and a University Grants Commission Emeritus Fellow (Economics). Dr. Chadha has written sixteen books besides contributing 85 research papers to national and international research journals on various development issues relating to India and other developing countries of Asia, notably Indonesia and China. He was a Visiting Fellow at Institute of Development Studies, University of Sussex, England, a Visiting Research Fellow at Institute of Developing Economies, Tokyo, and a Visiting Professor at University of Mauritius and is currently an Honorary Professor at Shenzhen University, China and Nihon Fukushi University, Nagoya-Japan besides being a member of the International Advisory Board of the Centre for Development Research, Colombo. Prof. Chadha has been a Consultant to several international development organizations including United Nations agencies such as FAO, ILO, UNCTAD, ESCAP, etc. besides serving on numerous other international and national expert committees. He has been honoured with numerous awards and distinctions. He has recently been elected as the President of the Indian Economic Association. Earlier, he was the President of the Indian Society of Agricultural Economics as well the Indian Society of Labour Economics.

Panel Member: John Ouma Mugabe

John Ouma Mugabe is the Director of the Office of Science and Technology of the New Partnership for Africa's Development (NEPAD) and Secretary of the African Ministerial Council on Science and Technology (AMCOST).

He is a former Executive Director of the African Centre for Technology Studies (ACTS), Nairobi and Programme Officer of the International Diffusion of Biotechnology Programme of the International Federation of Institutes of Advanced Study (IFIAS). Dr. Mugabe directed the ACTS Biopolicy Institute in Maastricht, The Netherlands. He was a member of Kenya's National Council for Science and Technology (NCST), member Board of Directors of the African Conservation Centre (ACC), Kenya, and member of Board of Trustees of Sustainable Agriculture Centre for Research and Development in Africa (SACRED).

He served on the International Curriculum Advisory Committee of the Leadership for Environment and Development (LEAD) International Inc., Imperial College, UK., and has consulted for many international agencies and countries including the United Nations Environment Programme (UNEP), the Convention on Biological Diversity (CBD), the Consultative Group for International Agricultural Research (CGIAR), United Nations Development Programme (UNDP), the World Bank, the World Resources Institute (WRI), the Swedish Agency for Research and Development Cooperation with Developing Countries (SAREC) and the Global Environment Facility (GEF), and Department of Science and Technology (DST), Republic of South Africa, Government of Ghana and Government of Kenya's National Council for Science and Technology.

John Mugabe holds a doctorate degree in political economy of science and technology from the University of Amsterdam, The Netherlands. He has published on biodiversity, biotechnology, environmental policy and institutional arrangements for environmental

sustainability. His current research focuses on the political economy of science, technology and innovation policy-making.

Panel Member: Jeff Waage

Jeff Waage was trained as an entomologist and ecologist and has made a substantial research contribution to the theory and practice of biological control and integrated pest management. His international research management career began in 1986 when he joined CAB International, where he was sequentially Director of the International Institute of Biological Control and CEO of CABI Bioscience. During this period he developed and/or managed a range of donor-funded collaborations with CGIAR and NARS partners, including the successful biological control of insect pests on tropical crops and development of a biopesticide for the desert locust (the LUBILOSA programme with IITA). While at CABI, he was a co-founder with FAO and World Bank colleagues, of the Global IPM Facility, an advisor to UN and World Bank on integrated pest management, and President of the International Organization of Biological Control. In 1996 he co-founded, and subsequently chaired the Global Invasive Species Programme, a project of GEF linked to the Convention on Biological Diversity. In 2001 he became Head of the Department of Agricultural Sciences at Imperial College (formerly Wye College), and subsequently restructured this and environmental research at Imperial College. During this period he was also Chair of the Sustainable Agricultural Panel of the Biological and Biotechnological Science Research Council in UK and a member of the Science Advisory Council for the UK Department of Environment, Food and Rural Affairs. He is now Director of the London International Development Centre, a collaboration between six Colleges of the University of London.

Panel Secretary: Karin Perkins

Karin Perkins has extensive knowledge of the CGIAR. She was an analyst in the Review Secretariat of the Third System Review, and she coordinated the World Bank OED's 2002 meta-evaluation of the CGIAR, in which she also evaluated the system's governance and financing mechanisms. While working with the Foreign Agricultural Service of the US Department of Agriculture, she coordinated CGIAR-related programs between USDA and USAID. Ms. Perkins's other evaluation experience includes participating in OED's evaluation of the World Bank's Forest Policy, in which she was co-author of a country case study on Brazil, and conducting an assessment of the results of World Bank agriculture projects in the Africa Region for the Bank's Agriculture and Rural Development Department. Among other professional positions, she also has worked for Cornell University's International Institute for Food, Agriculture and Development (managing a multi-stakeholder research program on protected-area management in the Dominican Republic); at the Agricultural Policy Institute in Quito, Ecuador (analyzing land-use changes in that country); and at World Resources Institute (researching high-value food crop production in Latin America). Most recently, she has worked as a consultant in the World Bank's Agriculture and Rural Development and Environment Departments, helping to outline the Bank's strategy for forest law enforcement and governance. Ms. Perkins has lived and worked in Latin America and Indonesia, and has a Master's Degree in Development Policy from Cornell University, with a background in agricultural and resource economics.

Panel Secretary: Kenneth Watson

Dr. Watson is an economist and professional evaluator. His doctorate from Harvard University is in economics and public finance. He has been a Full Professor (fixed term, 1996-97), at the Australian National University, Managing Business in Asia Program. He is the author of the Canadian Treasury Board Secretariat Guide to Benefit Cost Analysis, and the Canadian Treasury Board Guide to Evaluation Methods. He was the principal economist assisting the editor for the World Bank Annual Report, 2002, and principal evaluator for the Asian Development Bank Evaluation of the Asian Development Fund, 2003. Recipient of the 2002 Contribution to Evaluation Award of the Canadian Evaluation Society, presented annually to a person who has made a significant contribution to the theory and practice of evaluation in Canada. In addition to professional publications, he has twelve peer-reviewed articles on the topic of evaluation. He is a member of the Campbell Collaboration for meta-evaluations and the development of systematic reviews across countries and disciplines. Dr. Watson was the principal economist for the evaluation of the Eco-Research Program, a joint program of the three main Granting Councils of the Government of Canada. (The Canadian Institutes of Medical Research, the Social Sciences and Humanities Research Council, and the Natural Sciences and Engineering Research Council). This involved an assessment of research carried out at 27 universities and research institutions, and an assessment of the effectiveness of the network itself. Another multi-component evaluation for which he was the principal consultant was the multi-cycle evaluation of the Asian Development Fund V-VIII. Dr. Watson has completed several assignments for the International Fund for Agricultural Development (IFAD). He is a member of the Institute for Risk Research. He has undertaken assignments related to food inspection (Auditor General of Canada), randomized field trials for veterinary biologics (Auditor General of Canada), and the strategic plan of the Central Experimental Farm (Agriculture and Agrifood Canada), regional research facilities (Agriculture and Agrifood Canada) and international programs to facilitate Canada's agriculture exports.

(Other members may join the Panel during the course of its deliberations.)

Appendix 4: An Advisory Group and Commentators

The CGIAR Panel is a small group of eminent professionals who are guiding and executing the Review. The Panel will consult widely with stakeholders and shareholders. One aspect of consultations is having an Advisory Group to provide a sounding board for the Panel at key milestones of the Review, and, as well, a small group of commentators to bring different perspectives to the findings of the Review Panel.

Partnership and participation are two important principles that guide Reviews. Partnership ensures a wider view on a program's effectiveness is informed by other donors and indeed the development partner. Participation refers to the involvement of key people to provide the review team with the tacit knowledge that comes from in-depth experience in the program being reviewed or the sector in which the program operates. Participation usually involves academics, the private sector, civil society, beneficiaries who can articulate beneficiary views. The Panel will seek the views of a wide range of stakeholders and shareholders.

We propose that the Ad Hoc Advisory Group will continue its role in providing the Review Panel with advice from the perspective of various CGIAR stakeholders and shareholders. It is proposed to augment the current Group membership with A CGIAR private sector partner and a representative from international organizations with similar structures or mandates. Consultation with NGO representatives will take place in workshops and through structured interviews. The Advisory Panel task will entail critical feedback on the four papers to be produced by the Review Panel and on the final (synthesis) report, including its recommendations. If the Advisory Group feels that it is appropriate it can draft a collective comment on the Review. However the Advisory Group members will represent their own professional views and will not divulge early findings or draft recommendations.

In addition, the Panel would seek the advice of three external Commentators who can advise the panel from different perspectives. These individuals will read and comment on key papers and the synthesis report, and each will write a short response to be included as an appendix to the final report.

Endnotes

cgtemp1

G:\WORKING FILES 2007 (Nov)\CURRENT PROJECTS (Oct 07)\CGIAR\Inception Report\Review Panel Inception Report AGM Discussion Draft.doc
11/21/2007 1:35:00 PM

¹ The SO includes a list of nine units - CGIAR Secretariat, Central Advisory Service on Intellectual Property, Chief Information Office, Alliance Office, Gender and Diversity Program, Strategic Advisory Service on Human Resources, Internal Audit Unit, Media Unit, and Science Council Secretariat.

² The TORS for the Review were finalized on October 3, 2007

³ Does the CGIAR have a good governance structure, well aligned³ with objectives and priorities? The term "alignment" has been used in the CGIAR to encompass (i) alignment among Centers in terms of program, governance and corporate services, (ii) alignment at system level among Members, and (iii) alignment between the different components constituting the CGIAR System (i.e. Members, Science Council, Centers and System Office). Alignment in this context refers to the capacity to work more effectively together toward the accomplishment of the mission of the CGIAR. Included here are the roles, effectiveness and efficiency of the Pillars (the Consultative Group; the Science Council; and the 15 international agricultural research Centers) and supporting structures, e.g. the Executive Council and the System Office. The Review Panel will assess the organizational reforms undertaken since the last (third) independent review, especially questions of organizational decision making, priority setting, strategy development, resource allocation and operational implementation. The Panel will examine the Centers from the angle of governance, partnership, and resource management, relying heavily on existing evaluations complemented by a program of site visits. The Panel will examine other global partnerships and new public financing systems to establish bench marks for assessing the partnership and resource mobilization.

⁴ What have been the activities and outputs of the CGIAR, and have these been conducted efficiently and economically? What impact on poverty reduction has the CGIAR had? The Review Panel will not conduct original research on this key question but will rely upon a synthesis of the available evidence on the achievements (effectiveness and impact) of the research conducted by the CGIAR Centers. The Review Panel will draw upon EPMRs, donor evaluations, and other reviews and assessments of the Center programs and Challenge Programs. In other words, the Panel will try to determine the use of the systems outputs in its own research (intermediate outcomes) but not will rely on research by others to determine outcomes.

⁵ There was one question in the TORS on this topic.

⁶ In 2003, at the request of ExCo, the CGIAR System Office established the Working Group on Performance Measurement. It was hoped that a performance measurement system would serve as a tool for decision making and performance management by the Centers; and would encourage Centers, through incentives, to improve their performance. It was to stimulate change and learning through benchmarking and similar exercises; and to help demonstrate performance, and fulfill accountability obligations. Lastly it was to aid CGIAR donors in making resource allocation decisions. The CGIAR Performance Measurement System (PMS) measures Center performance along three dimensions: results; potential to perform; and stakeholder perceptions. Its results are reported in the CGIAR Annual Report.

⁷ CGIAR, First Independent Review. W. Baum, Chair. Dr. Alex McCalla, Study Director. (1976). Report of the Review Committee. CGIAR: Washington, D.C.

⁸ CGIAR, Second Independent Review. W. Baum, Chair. (1981). Report of the Review Committee. CGIAR: Washington, D.C.

⁹ CGIAR, Third Independent Review. M. Strong, Chair. (1998). The International Research Partnership for Food Security and Sustainable Agriculture. CGIAR: Washington, D.C.

¹⁰ The CDMT was chaired by Margaret Catley-Carlson.

¹¹ World Bank, Operations Evaluation Department. (2003). The CGIAR at 31. World Bank: Washington, D.C.

¹² The CGIAR Secretariat, the Science Council Secretariat and the Alliance Office will provide information documentation in support of the Review; and the CGIAR Secretariat is providing logistical support where appropriate, such as helping the Panel arrange its visits to ExCo and the AGM.

¹³ The process of appointing the Panel comprised several steps. The CGIAR members were invited to nominate firms, institutions or individuals for inclusion in the Panel, in light of the characteristics set out in the Panel Member Profile. This profile listed the skills and qualifications needed by the Panel overall. Terms of Reference for the Review Panel were posted on the CGIAR website. (See Appendix 4, Terms of Reference for the Review Panel). Nominations or applications were invited. The TORs were also circulated to professional evaluation associations. Responses were compiled and a "long list" of all the nominations and applications received was prepared and presented to the ExCo Ad Hoc Advisory Group for the Independent Review (See Section 1.6). The ExCo Ad Hoc Advisory Group proposed a Panel, based on its appraisal and selection from the long list, and the list of proposed Panel members was sent to ExCo for approval and will be presented to the CGIAR at AGM07 for ratification.

¹⁴ Summary Record of Proceeding of the 12th Meeting of the CGIAR Executive Council, May 2007.

¹⁵ For example the System Office is already being reconfigured.

¹⁶ See comments by World Bank, OED, "CGIAR at 31", 2003.

¹⁷ This study (Financing Agriculture and Agricultural Research: New Thinking in Development Finance) has a threefold focus. One, it will identify the main financing instruments employed by CGIAR's donors to finance CGIAR. Two, it will examine how CGIAR uses its available funds to support and encourage internal and external actors to engage in agricultural research and related initiatives. And three, it will explore what CGIAR research is contributing to identifying new and innovative ways of financing agricultural development, including agricultural research, e.g. national-level research.

¹⁸ "IEG Guidelines for Global and Regional Program Reviews (GRPP)", February 12, 2007. (See <http://www.worldbank.org/ieg/grpp>)

¹⁹ OECD/DAC Principles for Evaluation of Development Assistance (1991); OECD/DAC Evaluation Quality Standards (2006); OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management (2002); OECD Principles of Corporate Governance (1999, revised 2004).

²⁰ The extent to which the objectives and design of the program are consistent with (a) current global/regional challenges and concerns in a particular development sector and (b) the needs and priorities of beneficiary countries and groups.

²¹ The extent to which the program has achieved, or is expected to achieve, its objectives, taking into account their relative importance.

²² 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 order to achieve the maximum possible outputs, outcomes, and impacts with the minimum possible inputs.

²³ When the term is applied to the activities of a program, the extent to which the benefits arising from these activities are likely to continue after the activities have been completed. When the term is applied to organizations or programs themselves, the extent to which the organization or program is likely to continue its operational activities over time.

²⁴ Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

²⁵ <http://www.worldbank.org/ieg/grpp>

²⁶ IEG Guidelines for Global and Regional Program Reviews (GRPRS) Annex: Review Framework for GRPRS.

²⁷ Relevant literature includes core CGIAR documents (e.g. the Charter), CGIAR/ExCo decision records, the reports of previous reviews and studies (e.g., System Office, Stripe Review of Corporate Governance of CGIAR Centers) and the general literature of agricultural research and development impact.

²⁸ Reviews of Centers External Program Management Reviews (EPMRs) together with the external reviews of the Challenge Programs (CPs) and Independent and Eco-regional Programs (SWEPs). In addition, the evaluations of impact and other CGIAR evaluations including evaluations done by Centers to assess the impact of the CGIAR on poverty reduction.

²⁹ At a minimum interviews will be conducted with CGIAR Members; partners; Center Director Generals, Board chairs, and staff; CGIAR staff in various units; and other stakeholders, including private sector organizations and civil society organizations. Time and resource constraints and overlaps with the Change Management exercise could limit the ability of the Panel to take full advantage of consultations with stakeholders.

³⁰ The standard template for Center briefs would include inter alia the size of the Center (budget, number of scientists, size of Board, etc.), the outputs of the Center (publications – self, other and peer reviewed), assets and collections, percentage distribution of work over the 20 CGIAR priority areas (% budget and % of scientist time), etc.)

³¹ The 'sampling frame' is the list of persons from which the sample was drawn by random assignment.

³² The panel will also consult with representative(s) of the association of Young Professionals In Agricultural Research and Development (YPARD).

³³ The World Bank donor principals are the Agriculture and Rural Sector Department and the Committee of the Development Grants Fund (DGF),

³⁴ The World Bank's main oversight of its funding of the CGIAR is provided by the Office of the Chief Economist and by the Independent Evaluation Group (IEG)

³⁵ Geographically, five Centers are located in Africa, five in Asia, three in Latin America, and one each in Europe and USA. The Centers, staffed by more than 8500 research workers drawn from various disciplines and specializations, work directly in more than 100 countries and indirectly in many others. Each Center is legally constituted as an independent, self-governing institution with its own charter, research responsibilities or mandate, Board of Trustees, Director General, staff and budget. Each Center functions under legal agreements with its current host countries. Together, the Centers function inter-dependently within the CGIAR System and inter-Center collaborations and partnerships are encouraged. Also, each Center collaborates with external agencies including NARs, private companies, and CSOs.

³⁶ Five people from the host Center, two Panel members, one representative of the other participating Centers in the region, one representative from each of the CGIAR Secretariat, the Science Council Secretariat, the System Office, and the Alliance Office.