

Independent Evaluation Arrangement Matters

Purpose

This paper provides background, as a basis for a proposed decision of the System Council at its 2nd meeting, to extend the appointment of the Head of CGIAR's Independent Evaluation Arrangement ("IEA") taking into account the provisions of the CGIAR Policy for Independent External Evaluation, and more specifically the term of appointment of the Head of the IEA as set out therein.

Distribution notice:

This document may be distributed without restriction.

Recommended Decision Point

1. Pursuant to the discussion below, the System Management Office puts forward the following as the proposed decision of the System Council in respect of the extension of the appointment of the Head of CGIAR's Independent Evaluation Arrangement.

The System Council approves a preliminary one-year renewal of the Head of CGIAR's Independent Evaluation Arrangement ("IEA") as an interim decision pursuant to paragraph 44 of the CGIAR Policy for Independent External Evaluation pending the System Council's consideration and approval of revised Terms of Reference for the IEA pursuant to Article 6.1(e) of the CGIAR System Framework.

Background

2. The *CGIAR Policy for Independent External Evaluation*¹ ("**CGIAR Evaluation Policy**"), approved intersessionally between the former Fund Council's 6th and 7th meetings, sets out, at Chapter 5, the mandate and institutional arrangements for CGIAR's IEA.
3. The System Council endorsed the CGIAR Evaluation Policy, including the appointment and renewal provisions of the IEA Head, as a continuing policy of the CGIAR System at its 12 July 2016 inaugural meeting ("SC1"), as set out in decision SC/M1/DP7². The System Council's decision authorized the CGIAR System Organization to make consequential changes within such policies, including substituting the name of the System Council in place of the former Fund Council in relevant provisions.
4. Relevant to the stated purpose of this paper, and taking note of the authorization set out in paragraph 3 immediately above, chapter 5 of the CGIAR Evaluation Policy provides, inter alia:

Paragraph 42

"Championship of the independent evaluation function in the CGIAR is provided by the independent Head IEA. The IEA Head reports directly to the System Council, and is required to consult closely with the CGIAR System Organization, without prejudice to the independence of the IEA or the final authority of the System Council...."

and

¹ The Policy is accessible at this link: <http://iea.cgiar.org/sites/default/files/CGIAR%20Evaluation%20Policy%20-%20Final%20approved%20document%20effective%20February%202012.pdf>

² Set out in the decision register of the System Council, at: http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/07/SC_Dcision_Register_9Sep2016.pdf

Paragraph 44

“The Head of the CGIAR IEA will have global name recognition in agricultural research evaluation field, and generally in evaluation. She/he will be appointed for a term of four years (including the probation period) with the possibility of renewal for a maximum of a further four years...”

5. Earlier in 2016, the Transition Team appointed by the former Fund Council worked to develop a preliminary working draft Terms of Reference (“TOR”) for the IEA in consultation with the IEA Head, the Centers, the former CGIAR Consortium, and other stakeholders, a copy of which is provided at Appendix 1 as an aide memoire. The preliminary draft TOR was presented at the May 2016 Rome meeting of the CGIAR Centers and Funders, but was not able to be discussed due to competing agenda demands.
6. At SC1, the System Council acknowledged the importance of progressing a revised TOR for the IEA and the Independent Science and Partnership Council (“ISPC”). Recognizing that there are multiple priorities for the System Council in its first months of operation, it is currently proposed that the TOR for the IEA and ISPC be addressed in advance of March 2017, according to a high-level work plan that is presented for System Council consideration at its forthcoming 2nd meeting (as reflected in meeting document SC2-09).
7. The IEA Head was appointed by the former Fund Council for an initial four-year term with effect from 1 October 2012.
8. Taking note of the language of paragraph 44 of the CGIAR Evaluation Policy, as extracted above, it is prudent for the System Council to put in place an appropriate interim decision on the ongoing service of the IEA Head, pending approval of a final TOR for the IEA. The proposed interim decision is without prejudice to the right of the System Council to approve a full renewal for a period of up to four years with retroactive effect once the IEA TOR has been put in place.
9. Recognizing the independent nature of the IEA Head role, this proposal has been discussed with, and is supported by, the current IEA Head, with the IEA Head noting the importance of obtaining clarity on the IEA TOR as early as is possible in the System Council’s agenda for end-2016/early 2017.



Meeting of CGIAR Centers and Funders on the CGIAR System
Rome, Italy
May 2-4, 2016

Preliminary Draft

Terms of reference for System Council advisory bodies

IEA INFORMATION
EXTRACTED FROM LONGER
PAPER

Draft Terms of Reference for Independent Evaluation Arrangement
(refer Article 14 of CGIAR System Charter, dated April 8, 2016)

[The Functions come out of the working groups, and the various inputs received on the preliminary draft of the Framework Document, now CGIAR System Charter]

A. Mandate

1. The Independent Evaluation Arrangement is a functionally and operationally independent service formed under the authority of the System Council to provide accountability, contribute to learning and support decision-making through the conduct of independent, external evaluations in order to provide the CGIAR System with objective, contemporary and cost-effective information on the overall performance of CGIAR Research and the functions and structures of the CGIAR System. The purpose, functions and composition of the IEA shall be as set forth under its Terms of Reference, as approved and amended periodically by the System Council with powers duly delegated by the System Council.

B. Functions

2. As requested by the System Council, the IEA shall undertake the following:

Independent evaluation function for accountability

- a) [In consultation with the Centers Consultative Group, the System Administrative Office, the ISPC Chair and the [head of the] Internal Audit Arrangement,] propose for System Council approval a multi-year evaluation framework for CGIAR Research, to be reviewed annually to ensure relevance in light of changed risk and organizational conditions, and that includes periodic evaluations and periodic external governance and management reviews of the Centers;
- b) Plan, design and implement an annual evaluation plan in accordance with the multi-year evaluation framework;
- c) Develop, and periodically revisit and propose revisions if necessary, to the CGIAR Evaluation Policy for approval by the System Council;
- d) Review implementation of evaluation recommendations in subsequent evaluations;
- e) Report on and advise the CGIAR System on lessons learned from evaluations;

Learning and advisory function

- f) Provide learning and evidence from evaluations for the development of each CGIAR Strategy and Results Framework in a manner that ensures that evaluation information feeds into analysis of what has worked or not, thereby providing proactive, temporal input into decisions about future directions;
- g) Support ISPC's review of proposals for CGIAR Research based on lessons learned from evaluations and [propose][support the development within those proposals of appropriate] accountability and learning frameworks [to be included in such proposals];

- h) Guide and support the CGIAR System to develop and implement a consistent and cost-effective contemporary evaluation culture;
- i) Facilitate evaluation quality and effectiveness across the CGIAR System;
- j) Support the development of criteria for science quality, relevance and performance for CGIAR Research; and
- k) Undertake such other functions as may be directed by the System Council.

C. IEA team, budget and operational support

- 4. A secretariat comprised of a small team of professional and administrative staff, shall support delivery of the IEA function.
- 5. The System Council, on the recommendation of the Strategic Impact and Evaluation Committee, will select the head of the IEA according to a merit-based, open and competitive selection process. He/she will serve for a term of [x] years, which may be renewed once by the System Council in its discretion for up to an additional [x] years.
- 6. The head of the IEA reports to the System Council through the Strategic Impact and Evaluation Committee. The IEA Head may address himself/herself directly to the System Council Chair, if the Head of the IEA considers it necessary.
- 7. The hosting arrangements for the IEA, including arrangements for staffing of the secretariat, shall be reflected in an agreement with the hosting organization, the Food and Agriculture Organization of the United Nations, to be approved by the System Council.
- 8. Annually, the System Council shall approve a budget and work plan with objectives and deliverables for the IEA function as part of a consolidated budget and work plan for the CGIAR System and its advisory bodies to be developed by the System Administrative Office in collaboration with IEA and other advisory bodies.

D. Engagement of other parties

- 9. The head of the IEA represents the IEA in dealing with others, unless he/she has specifically tasked another staff member to serve as a focal point on a particular matter.
- 10. The head of the IEA will participate in meetings of the Strategic Impact and Evaluation Committee meetings in accordance with that committee's charter.
- 11. The head of the IEA will coordinate with the Strategic Impact and Evaluation Committee Chair on the matters, methods and periodicity of reporting to the System Council.
- 12. The primary focal point for the IEA in the System Administrative Office is the Executive Director or such other staff member that he/she nominates.

E. Self-assessment of performance

13. The IEA shall undertake and submit an annual assessment of its own performance to the Strategic Impact and Evaluation Committee, which shall review the self-assessment, and evaluate the IEA's effectiveness in fulfilling its functions under this terms of reference, and respond accordingly.
14. The System Council will assess annually the head of the IEA's individual performance.