



Evaluation of the CGIAR Research Program “Forests, Trees and Agroforestry” (FTA)

Volume II – Annexes

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Independent
Evaluation
Arrangement

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- World Agroforestry Centre, n.d. ToR - Position Description - Paul Stapleton.
- World Agroforestry Centre, n.d. ToR - Position Description - Dalia Catacutan.
- World Agroforestry Centre, n.d. ToR - Position Description - Fergus Sinclair.
- World Agroforestry Centre, n.d. ToR - Position Description - Frank Place.
- World Agroforestry Centre, n.d. ToR - Position Description - Henry Neufeldt.
- World Agroforestry Centre, n.d. ToR - Position Description - Meine van Noordwijk.
- World Agroforestry Centre, n.d. ToR - Position Description - Muhammad Mehmood Ul Hassan.
- World Agroforestry Centre, n.d. ToR - Position Description - Ramni Jamnadass.
- World Agroforestry Centre, n.d. ToR - Position Description - Ravi Prabhu.
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Annex B. Persons Consulted

Overall, 137 interviews with 206 people have been conducted who are listed below in alphabetical order. Some people have been interviewed several times.

| Interviewee | Position | Home Institution | Date of Interview |
|-----------------------------------|---|---|---|
| Abeysekera, Laksiri | Director of Finance and Operations | ICRAF | 02 December 2013 |
| Aboum nee Niondi, Isabelle Esther | Inspecteur des Impôts, Programme de Sécurisation des Recettes Forestières (PSFR) | Ministry of Finance | 09 December 2013 |
| Adil, Zulfikar | Director | Brik Quality Services | 17 October 2013 |
| Agnes, Ehanis | | Farmer in Nkenlikok, Cameroon | 10 December 10, 2013 |
| Agueci, Vittorio | Program Budget Officer of Forestry Program | Bioversity International | 07 February 2014 |
| Akiegnawati, Ratna | Head, Field Manager | ICRAF | 18 October 2013 |
| Andriani, Rubeta | Research Officer | CIFOR | 30 September 2013 |
| Angelsen, Arild | Professor of Economics and Business at UMB, Senior Associate at CIFOR | CIFOR | 11 November 2013 |
| Araoche, Ambros | Steering Committee member, retired civil servant, former Forest Commissioner, now leading an NGO | Uganda Forest Authority | 05 December 2013 |
| Arinaitwe, Euzobio | | University of Makerere | 05 December 2013 |
| Assembe, Samuel | Post-doctoral Research Fellow | CIFOR Cameroon | 30 September 2013 |
| Atanga, Felicitas | Assistant Representative | FAO | 13 December 2013 |
| Atangana, Louis Marie | | Comité Villageoise de Concentration (CVC) | 10 December 2013 |
| Awono, Abdon | Senior Research Officer | CIFOR | 13 December 2013 |
| Balinga, Michael | FTA Coordinator of West Africa Sentinel Landscape/ Coordinator of Component 1.3 of BIODEV Project, CATIE Regional Scientist | CIFOR | 08 October 2013 08 October 2013 11 October 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|--------------------|---|-------------------------------------|--|
| Banana, Abwoli | Professor | University of Makerere | 05 December 2013 05 December 2013 |
| Beer, John | Representative at the FTA Steering Committee | CATIE | 16 January 2014 |
| Belcher, Brian | FTA MEIA Team, CIFOR Senior Associate Scientist | CIFOR | 09 October 2013 |
| Billand, Alain | Research Unit Director | CIRAD | 08 October 2013 |
| Bird, Leslie | Director of Finance and Corporate Services | Bioversity International | 06 February 2014 |
| Blaser, Jürgen | Professor, Domain International Forestry | Bern University of Applied Science | 28 November 2013 |
| Bodo, Minsoim'A | Ancient J.L. Director of the Centre de Promotion du Bois de Yaoundé | Ministry of Forestry | 09 December 2013 |
| Borgel, Alain | Coordinator East Africa | IRD | 06 December 2013 |
| Brockhaus, Maria | FTA 4.1 Module leader, Module 1 GCS, CIFOR Senior Scientist | CIFOR | 14 October 2013 |
| Budisetiawan, Iman | | Muara Bungo, Sumatra | 18 October 2013 |
| Catacutan, Delia | FTA Gender Focal Point, ICRAF Vietnam Country Representative | ICRAF | 16 October 2013 |
| Cerutti, Paolo | Senior Scientist | CIFOR | 30 September 2013 01 October 2013 02 December 2013 |
| Chapman, Robert | Head, Research Planning and Monitoring | Bioversity International | 07 February 2014 |
| Chendauka, Bwalya | Principal Extension Officer | Forest Department | 18 December 2013 |
| Chia, Eugene | Governance and Institutional Issues | COBAM | 07/08 October 2013 |
| Collins, Wanda | Chair of the CIAT BOT | CIAT and other advisory assignments | 07 November 2013 |
| Cronkleton, Peter | FTA Component 1 CIFOR focal point, FTA Principal Scientist, Livelihoods | CIFOR | 08 October 2013 |
| de Luise, Allison | Resource Mobilization Unit | Bioversity International | 07 February 2014 |
| Degrande, Ann | Researcher, Rural Advisory Services in West and Central Africa | ICRAF | 07 December 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|-----------------------|---|---|--------------------------------------|
| Derero, Abayneh | | Forestry Research Center | 12 December 2013 |
| Dermawan, Ahmad | Scientist | CIFOR | 01 October 2013 |
| Dewi, Sonya | Landscape Ecologist | ICRAF | 04 October 2013 |
| Djoudi, Houria | Scientist | CIFOR | 08 October 2013 |
| Dupanloup, Jacques | Director General | Groupeement de la Filiere Bois du Cameroun (GFBC) | 10 December 2013 |
| Echeverría, Ruben G. | Director General | CIAT | 26 November 2013 |
| Elias, Marlenene | FTA Gender Focal Point, Bioversity Gender Specialist/ Conservation and Management of Forest Genetic Resources | Bioversity International | 22 October 2013 |
| El-Lakany, Hosny | BOT Chair | CIFOR | 12 November 2013 |
| Eten Bokagne, Etienne | Vice President | ANCOVA | 13 December 2013 |
| Euzobio Arinaitwe | | University of Makerere | 05 December 2013 |
| Finocchio, Francesco | Director of Human Resources | Bioversity International | 07 February 2014 |
| Fobissie, Kalame | Congo Basin Regional Forest and Climate Change Coordinator | WWF | 10 December 2013 |
| Frison, Emile | former Director General | Bioversity International | 14 January 2014 |
| Frosio, Carl | Attaché charge de programmes Section Development Rural, Environment at Societe Civile | EU Cameroon | 10 December 2013 |
| Gassner, Anja | FTA Sentinel Landscapes Coordinator, ICRAF Co-leader, Research Methods Group | ICRAF | 03 December 2013 06 December 2013 |
| Gaveuay, David | | CIFOR | 02 October 2013 |
| Gezahqne, Alemu | Senior Researcher | CIFOR, Forestry Research Center | 12 December 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|-----------------------|--|---|------------------------------------|
| Gnych, Sophia | Consultant | CIFOR | 02 October 2013 |
| Gonzales, Violeta | Fundraising & Donor Relations Manager | CIFOR | 04 October 2013 |
| Gotor, Elisabetta | FTA MEIA Team, Bioversity Impact Assessment Specialist | Bioversity International | 07 February 2014 |
| Guariguata, Manuel | FTA Component 2 CIFOR Focal Point, CIFOR Principal Scientist | CIFOR | 01 October 2013 10 October 2013 |
| Gumbo, Davison | Scientist | CIFOR Zambia | 16 December 2013 |
| Gunarso, Petrus | Director | Tropenbos | 16 October 2013 |
| Hadgu, Kiros | Country representative for Ethiopia | ICRAF | 12 December 2013 |
| Hagelberg, Niklas | Programme Officer | UNEP HQs | 05 December 2013 |
| Handoyo, Dri | Head, Forest Protection | District Forestry Office. Planning Office of Merangin, District, Department of Implementation | 16 October 2013 |
| Hanna, Rashid | Representing Resident | IITA Cameroon | 14 October 2013 |
| Hassan, Mehmood | Head of Capacity Development | ICRAF | 02 December 2013 |
| Hergoualc'h, Kristell | Scientist | CIFOR, REDD Alert | 19 October 2013 19 October 2013 |
| Herold, Martin | Professor for Geographic Information Science | University of Wageningen | 08 October 2013 |
| Holmgren, Peter | Director General | CIFOR | 03 October 2013 |
| Hudson, John | CIFOR BOT Vice Chair and Chair of the Programme Committee, Ex officio ICRAF BOT member | CIFOR, ICRAF and other advisory assignments | 05 November 2013 |
| Ichowita, Amy | Scientist working with Bioversity project | CIFOR | 12 December 2013 |
| Ingram, Verina | Senior Associate | CIFOR | 11 October 2013 |
| Irawan, Deddy | | Muara Bungo, Sumatra | 18 October 2013 |
| Jamnadas, Ramni | FTA Sub-component leader within 6.1, ICRAF Leader, project domain 3 | ICRAF | 04 December 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|---------------------------|--|---|---------------------------------------|
| Jasnari | Field staff, Jambi | ICRAF | 18 October 2013 |
| Jepang Sandjong, Camille | Programme Officer for Central & West Africa/Regional Water and Wetlands Programme | IUCN | 09 December 2013 |
| Jonathan, Emmanuel Pierre | National Coordinator Smallholder Oil Palm Development Programme | Ministry of Agriculture and Rural Development | 11 December 2013 |
| Joscelyne, Graham | BOT member and Audit & Risk Committee Chair | CIAT | 12 November 2013 |
| Kamaruddin | | Tana Toa Village, Bulukumba district | 13 October 2013 |
| Kanowski, Peter | Deputy Director General | CIFOR | 07 October 2013 03-07 October 2013 |
| Kassa, Habtemanian | Scientist, Forests and Livelihoods | CIFOR Ethiopia Office | 12 December 2013 |
| Keem Khoo, Lay | Senior HR Specialist | CIFOR | 02 February 2013 |
| Kehlenbeck, Katia | Associate Scientist | ICRAF | 04 December 2013 |
| Kelbe, Daniel | Directeur | Cooperative le Planteur, SOCAPALM | 11 December 2013 |
| Kindt, Roeland | FTA component 2 ICRAF focal point, ICRAF Senior Ecologist, Science Domain 3 | ICRAF | 04 December 2013 |
| Kioko, James | | World Vision | 06 December 2013 |
| Komarudin, Heru | Researcher | CIFOR | 02 October 2013 |
| Kroma, Margaret M. | Assistant Director General; Partnerships, Capacity Development, Impact and Extension | ICRAF | 04 December 2013 |
| Kusworo, Ahmad | Adviser | Fauna & Flora International-Indonesia Programme | 10 October 2013 |
| Lescuyer, Guillaume | Scientist | CIRAD | 01 October 2013 13 December 2013 |
| Levang, Patrice | Seconded Scientist | IRD/CIFOR | 02 October 2013 11 December 2013 |
| Liswanto, Darmawan | Indonesia Country Programme Director | Fauna & Flora International | 10 October 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|--|--|---|--------------------------------------|
| Lubuk Beringin Village Leader and others | | | 17 October 2013 |
| Luzon, Josephine | Head of Finance | Bioversity International | 07 February 2014 |
| Lynam, John | Chair of the ICRAF BOT | ICRAF and other advisory assignments | 08 November 2013 |
| Mahonghol, Denis | | Traffic | 09 December 2013 |
| Makumba, Ignatius | Acting Director of Forestry | Forest Department | 18 December 2013 |
| Martini, Endri | Extension Specialist | ICRAF | 12 October 2013 |
| Mbitikon, Raimond | Executive Secretary | COMIFAC | 10 December 2013 |
| Mbow, Cheikh | Senior Scientist | ICRAF | 03 December 2013 |
| Mejia, Elene | Researcher | CIFOR | 01 October 2013 |
| Minang, Peter | Senior Scientist | ICRAF | 04 December 2013 |
| Mishbah, Ibu | Head | District Forest Service of the Bulukumba district | 13 October 2013 |
| Moombe, Kaala | Researcher | CIFOR Zambia | 16 December 2013 |
| Moore, Liza | Director of Human Resources | CIFOR | 02 February 2013 |
| Mowo, Jeremias | Member of Steering Committee for the FTA Evergreen Agriculture Project, ICRAF Regional coordinator | ICRAF | 02 December 2013 |
| Mpagire, Steven | Senior Forest Officer, Forest Sector Support Department | Uganda Forest Authority | 05 December 2013 |
| Mukasa, Concepta | | AUPWAE | 05 December 2013 05 December 2013 |
| Mukonen, Paulus | Associate Expert, Special Ecologist, GIS and mapping, Finnish government | Bioversity International | 10 December 2013 |
| Musonda, Winnie | Assistant Resident Representative and Environment Adviser | UNDP Zambia | 17 December 2013 |
| Muthuri, Catherine | FTA Project leader, Scientist coordinating the Evergreen agriculture project, ICRAF Research Scientist | ICRAF | 02 December 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|----------------------|--|---|---|
| Mutua, Joseph | Technical Manager | Kenya Network of Dissemination of Agricultural Technology (KENDAT) | 06 December 2013 |
| Mwangi, Esther | FTA Gender Coordinator, CIFOR Senior Scientist, Forests and Governance Programme | CIFOR | 08 October 2013 |
| Nana | | District Forestry Office. Planning Office of Merangin, District, Department of Implementation | 16 October 2013 |
| Nasi, Robert | FTA Director, CIFOR Principal Scientist | CIFOR | 06 October 2013 10 October 2013 |
| Nchanji, Yvonne Kiki | Gender in „Beyond timber“ | Bioversity | 13 December 2013 |
| Neufeldt, Henry | FTA Component 4 ICRAF focal point, ICRAF Leader of the Climate Change Science Domain | ICRAF | 19 November 2013 06 December 2013 |
| Ngandjui, Germain | | Traffic | 09 December 2013 |
| Ngongo, Ebia | Consultant, former DG of forestry of MINFO | BUREDIP | 13 December 2013 |
| Noor, Faisal | Consultant | CIFOR/IRMAC | 02 October 2013 |
| Obidzinski, Krystof | Senior Scientist | CIFOR | 01 October 2013 02 October 2013 04 October 2013 |
| Ofori, Daniel | Tree domestication Scientist | ICRAF | 04 December 2013 |
| Ojanen, Marja | Councillor, Environment and Natural Resources | Embassy of Finland | 17 December 17, 2013 |
| Okiror, Grace | Executive Director | AUPWAE | 05 December 2013 |
| Pacheco, Pablo | FTA Component 5 Coordinator, CIFOR Principal Scientist | CIFOR | 01 October 2013 02 October 2013 11 October 2013 |
| Perez, Alba | Participatory Monitoring and Evaluation | COBAM | 07-08 October 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|---|---|---|--------------------------------------|
| Piketty, Marie-Gabrielle | Department Environment and Society | CIRAD | 03 October 2013 |
| Pinedo, Miguel | Scientist | CIFOR | 10 October 2013 |
| Place, Frank | FTA MEIA team, ICRAF Head of Impact Assessment | ICRAF | 02 December 2013 03 December 2013 |
| Potter, Lesley | Visiting Fellow ANU, Consultant to CIFOR | CIFOR | 02 October 2013 |
| Poulos, Alison | CGIAR Research Program Process Manager | Bioversity International | 07 February 2014 |
| Pradhan, Ujjwal | FTA Component 5 ICRAF Focal Point, ICRAF SEA Regional Coordinator | ICRAF | 04 October 2013 |
| Pradhu, Ravi | Deputy Director General, Research | ICRAF | 02 December 2013 |
| Purnamo, Boen | Senior Advisor to the Minister of Forestry, | former Secretary General Ministry of Forestry | 16 October 2013 |
| Purnomo, Herry | Scientist | CIFOR | 04-10 October 2013 |
| Purwanto, Edi | Director | Operation Wallacea Trust (OWT), AgFor Partner | 10 October 2013 |
| Putra, Agung | Field staff | ICRAF | 18 October 18, 2013 |
| Putzel, Louis | Senior Scientist | CIFOR | 30 September 30, 2013 |
| Rijsberman, Frank | CEO | CGIAR Consortium | 18 November 2013 |
| Roda, Jean Marc | Research Fellow | CIRAD | 03 October 2013 |
| Romero, Claudia | Courtesy Assistant Professor of Biology | University of Florida | 10 October 2013 |
| Roshetko, James | Leader, Trees and Market Unit SE Asia | ICRAF | 12 October 2013 13 October 2013 |
| Rudebjer, Per | Head a.i. Knowledge Management and Capacity Strengthening Unit | Bioversity International | 08 February 2014 |
| Russell, Aaron | Scientist | CIFOR | 13 November 2013 |
| Samaturu womens group, Bulukumba district | FTA AgFor, Agroforestry and Forestry in Sulawesi | | 13 October 2013 |
| Santoso, Iman | Director General, Forest Research and Development Agency (FORDA) and Host Country Representative to CIFOR BOT | FORDA, CIFOR | 07 October 2013 16 October 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|---------------------------|--|--|--|
| Savilaasko, Sini | Finnish Associate Expert | CIFOR | 10 October 2013 10 October 2013 |
| Schoneveld, George | Scientist | CIFOR | 11 October 2013 |
| Seymore, Frances | former Director General | CIFOR | 01 December 2013 02 December 2013 |
| Sido, Tesfaye | Research Assistant | CIMMYT | 12 December 2013 |
| Sinclair, Fergus | FTA Component 1 Coordinator, ICRAF Leader of Science Domain, Agroforestry Systems | ICRAF | 01 December 2013 02 December 2013 02 December 2013 |
| Snook, Laura | FTA Component 2 Coordinator, Bioversity Programme Leader, Forest Genetic Resources Conservation | Bioversity International | 06 February 2014 |
| Solórzano, Luis | Director of Staff | CGIAR Consortium Leadership Team | 10 October 2013 |
| Somarriba, Eduardo | | CATIE | 13 January 2014 |
| Sonne, Norbert | Coordinator of the Forest Program and GFTN, Manager WWF Cameroon | WWF | 10 December 2013 |
| Sonwa, Dennis | FTA Coordinator of Cameroon Sentinel Landscape site, CIFOR Senior Scientist | CIFOR | 09 October 2013 13 December 2013 |
| Sugardiman, Ruandha A. | Deputy Director of Spatial Data Network, Directorate General of Forestry Planning Ministry of Forestry | Spatial Data Network, Forestry Planning Ministry of Forestry | 10 December 2013 |
| Sunderland, Terry | FTA Component 3 CIFOR Focal Point, CIFOR Principal Scientist | CIFOR | 10 October 2013 10 October 2013 10 October 201 |
| Sunderlin, William | Principal Scientist | CIFOR | 11 October 2013 |
| Tata, Hesti Lestari | Ecologist | FORDA/ICRAF | 18 October 2013 |

| Interviewee | Position | Home Institution | Date of Interview |
|-----------------------------------|---|--------------------------------------|--------------------------------------|
| Tchoundjeu, Zac | Regional Director for West and Central Africa | ICRAF | 07 December 2013 |
| Terheggen, Anne | Senior Scientist | ICRAF | 30 September 2013 04 October 2013 |
| Tiani, Anne-Marie | Senior scientist | CIFOR and coordinator of COBAM | 07 October 2013 08 October 2013 |
| Tibazalika, Alice | Assistant of Concepta | AUPWAE | 05 December 2013 05 December 2013 |
| Tutwiler, Ann | Recently appointed Director General | Bioversity International | 13 December 2013 |
| Tumuluru, Kumar | Director Finance and Administrations | CIFOR | 02 October 2013 |
| Vagen, Tor | Senior scientist | ICRAF | 03 December 2013 |
| Verchot, Lou | Director for Forest and Environment | CIFOR | 14 November 2013 |
| Wahyuni, Sri | | Tana Toa Village, Bulukumba district | 13 October 2013 |
| Wardell, Andrew | Research Director Governance | CIFOR | 01 October 2013 02 October 2013 |
| Weng, Lingfei | PhD intern | CIFOR | 30 September 2013 |
| Weng, Xiaoxue | Researcher | IIED | 30 September 2013 |
| Widayati, Atiek | Leader, Spatial Analysis Unit | ICRAF | 13 October 2013 |
| Stephan Weise | DDG Research | Bioversity International | 06 February 2014 |
| Wild, Hilary | Chair of the ICRAF BOT Audit and Finance Committee | ICRAF and other advisory assignments | 08 November 2013 |
| Yuliani, Linda | FTA Coordinator of AgFor in Bogor and Coordinator of Field Station of AgFor ,CIFOR Researcher | CIFOR | 10 October 2013 |
| Yuliani, Linda | Researcher | CIFOR | 13 October 2013 13 October 2013 |
| Zainal Abidin, Syayhaneem Mohamad | Professor | UPM, Malaysia | 03 October 2013 |
| Zuckerman, Paul | BOT Chair | Bioversity | 29 November 2013 |

Annex C: Short Bios of Evaluation Team Members

Markus Palenberg (Team Leader). Markus is the managing director of the *Institute for Development Strategy*, an independent research institute in Munich, Germany, and works as researcher, evaluator and consultant. His research focuses on evaluation methodology such as tools for efficiency analysis and causal chains in complex interventions. As evaluator, he conducts theory-based evaluations of complex interventions, with a special focus on Global and Regional Partnership Programs (GRPPs). Markus also consults programs and networks on impact strategies, corporate governance arrangements and M&E systems. Over the last ten years, Markus has conducted more than thirty research and consulting assignments in the public and private sector, including eight global program evaluations of which three were CGIAR Challenge Programs. Currently, Markus is team leader of the global program review “The World Bank Group’s Partnership with the Global Environment Facility”, commissioned by the World Bank Independent Evaluation Group and covering 22 years of collaboration between the Global Environment Facility, the World Bank, and the International Finance Corporation. Markus serves as Executive Board Member of the CGIAR Generation Challenge Programme and is Program Management Team Member of the CGIAR program HarvestPlus. He is member of the GRPP Technical Advisory Panel of the World Bank Independent Evaluation Group, member of the Scientific Committee of the 2015 IWRA World Water Congress, and fellow of the Global Public Policy Institute. Before entering the development field, Markus worked as corporate manager, as strategy consultant with McKinsey&Company, Inc., and as postdoctoral researcher at the Massachusetts Institute of Technology. Markus holds a Doctorate in Theoretical Physics.

Marko Katila (Team Member). Marko is a Senior Evaluator, Forest Policy, Economics and Trade). He works as a Senior Adviser at Indufor, an international forestry consulting company, and also at Dasos Capital, a leading European private equity funds specialized in investing in sustainable forestry. Marko is a member in the Finnish Society of Forestry Research (since 1988) and a Finnish Forest Economists Association. Marko has worked 27 years in international forestry and development in different positions: senior consultant and vice president in an international forestry consulting company, senior economic advisor at the Ministry for Foreign Affairs of Finland, and a Research Director and Partner in an international timberland investment fund. During his career he has carried out several assignments for clients such as the World Bank, FAO, UNFF, and EC and covered more than 30 countries in Asia, Africa and Europe and lived extensively in South East Asia and South Asia. Before joining the consulting world Marko was a full time faculty member (Research Associate) in the Department of Social Economics of Forestry at the University of Helsinki. After leaving the university, Marko has kept close links with the research community through reviewing doctoral dissertations and Master’s theses, scientific articles and serving

from time to time as a visiting lecturer in international forestry. Marko is an experienced forest economist specialized in international forest policy and sector planning, forestry investment and trade and all aspects of project cycle management from project identification and design to implementation, monitoring and evaluation. His most recent major valuation experience dealt with the evaluation of FAO's global forestry work. Currently, Marko is contributing to the evaluation the Climate Change Investment Funds, being responsible for the Forest Investment Program (FIP) evaluation. Marko holds PhD degrees and Master's degrees in forest economics in USA (Fulbright Scholar) and Finland, respectively.

Florencia Montagnini (Team Member). Florencia is a Senior Research Scientist at Yale University, School of Forestry and Environmental Studies, and she is also Director of the Program in Tropical Forestry of the Yale Global Institute for Sustainable Forestry. She holds honorary professorships at several universities in Latin America and is a Senior Fellow of the Energy and Climate Partners of the Americas, Climate Change program, US State Department. She also works as a private consultant in Agroforestry and Restoration, advising on projects and programs of her specialty. Before Yale, she was the Head of the Area of Forests and Biodiversity at the Tropical Agriculture Research and Higher Education Center (CATIE). Florencia's research focuses on variables controlling the sustainability of managed ecosystems in the tropics, such as forest, tree plantations and agroforestry systems, with a special emphasis on Latin America; sustainable land use systems that integrate ecological principles with economic, social, and political factors; the principles and applications of forest landscape restoration; the reforestation of degraded lands with native species; mixed-species plantations; tropical plantation silviculture; identification and quantification of ecological services provided by forest ecosystems, including biodiversity, carbon sequestration and watershed protection; organic farming using indigenous resources; Payments for Environmental Services as tools to promote restoration, conservation, and rural development. Florencia is currently conducting projects in regions encompassing major types of tropical and subtropical humid and dry forest in South and Central America. Projects include examining the role of native tree species in plantations and agroforestry systems in reclaiming degraded areas with species of economic value; the identification and quantification of ecological services provided by forests (biodiversity conservation, carbon sequestration, and water); and organic farming in agroforestry systems with native species. In her research, she collaborates with institutions such as CATIE, as well as with universities and other academic, private and government institutions in Argentina, Brazil, Colombia, Costa Rica, Mexico, and Panama. Florencia has written eight books on agroforestry systems and ecological restoration, including a major textbook in tropical forest ecology and management, and about 200 scientific articles, of which 80 percent have been published in international refereed journals. Florencia holds a B.S. in Agronomy from the National University of Rosario, Argentina; an M.S. in Ecology from the

Venezuelan Institute for Scientific Research; and a Ph.D. in Ecology from the University of Georgia, USA.

Carmenza Robledo (Team Member). Carmenza has over 15 years of experience on Forest and Climate Change issues, with special regard of developmental aspects, including socio-economic and institutional issues as well as with the attribution of environmental impacts. She has project experience in Latin America, Africa and Asia, as well as experience advising international organizations including FAO, World Bank, ITTO, UNDP, UNEP, CIFOR, GEF, UNFCCC Secretariat or IUCN. She combines scientific research, international advisory and project oriented assignments. Carmenza, Colombian and Swiss nationality, studied architecture at the Javeriana University of Bogotá and did an interdisciplinary master degree in regional development. Further she pursued a master in economics in Braunschweig (Germany) and holds a doctoral degree in geography of the University of Stuttgart, Germany. From 1998 to 2003 she worked as a Senior Scientist in the Swiss Federal Institute for Material Testing and Research (EMPA) on climate change and forest. In 2003 Carmenza joined the Swiss Foundation for Development and international Cooperation – Intercooperation - as Climate Change Task Manager and from 2006 as Coordinator of the Climate Change Group, an international network of climate experts within the organization. Carmenza led the Environment and Climate Change Team from 2009 until 2012. In 2012, Carmenza established her independent consulting firm ECOEXISTENCE and shares her professional time between consultancy in her company and research as Associated Senior Researcher in the Institute for Environmental Decisions (IED) of the Swiss Federal Institute of Technology Zürich (ETH – Zürich) ETH. Currently she is a Lead Author for the Fifth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC).

Federica Coccia (Team Member). Federica works as an Evaluation Analyst in the Independent Evaluation Arrangement of the CGIAR. Prior to joining the CGIAR, she worked with the Food and Agriculture Organization for 12 years. Federica collaborated with the Evaluation Service of FAO on various evaluations including the country evaluation for the Democratic Republic of Congo and the evaluation of FAO's operational capacity in emergencies. In 2006, she supported the core team of the Independent External Evaluation (IEE) of FAO, particularly on the Administration, Management and Organization component of the evaluation. Following the IEE, Federica worked for the FAO Conference where she was closely involved in the reform process that the Organization embarked upon following the IEE. In 2010, Federica joined the Business Improvement Unit of FAO, tasked with streamlining and making more efficient the administration processes of the Organization. Federica has an MA in development economics from Manchester University (UK) and has completed the Melcrum International Communication Black Belt Program. Federica has solid experience in gender issues and rural development, as well as management and governance of large organizations.

Andrea Deisenrieder (Analyst). Andrea has been working as Research Associate for the Institute for Development Strategy and has been contributing to different multilateral consulting and evaluation projects. Before joining the FTA evaluation team, Andrea provided her support to an Indian Think Tank in New Delhi for conducting an analysis on corporate governance and business responsibility standards in large Indian companies and wrote a paper on fiscal incentives for enhancing renewable energies in India. Prior her assignment in India, Andrea assisted the IfDS team in developing a new Affiliates strategy for the Global Development Learning Network (GDLN), a global partnership initiative for South-South cooperation established by the World Bank. She was also involved in the early stage of evaluating the global partnership between the World Bank Group and the Global Environment Facility as part of the Global Program Review conducted by the Independent Evaluation Group of the World Bank. Earlier, Andrea supported to the governance analysis of the Cereal System Initiative in South Asia (CSISA) commissioned by the Bill & Melinda Gates Foundation and USAID. Before joining IfDS, Andrea assisted the Country Director of the GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit) in Beijing in promoting and coordinating sustainable development projects in China and supported the United Nations Department of Economic and Social Affairs in New York in conducting capacity development projects in a series of developing countries. Andrea holds a Masters in Sociology, Psychology and Communication Science and wrote her thesis on the United Nations human rights practice with a focus on the MDGs and humanitarian interventions.

Annex D. Project Matching and Characterization Analysis

One evaluation work package consisted in a “project matching and characterization” analysis that was applied to a large and relevant share of FTA’s project portfolio.

The main purposes of this analysis are threefold:

- to assess the degree to which FTA proposals match with the objectives of the FTA program components they are assigned to, and with the objectives of the CGIAR’s Strategic Results Framework;
- to systematically characterize a representative share of FTA project proposals along a set of pre-defined criteria; and
- to at least superficially acquaint evaluation team members with a sufficiently large share of the FTA project portfolio to mitigate undue generalization errors.

From the entire FTA portfolio, 100 projects were selected according to the following criteria:

- availability of the project proposal and/or the grant agreement;
- coverage of the large grants with priority;
- adequate coverage of all FTA components.

Analysis procedure

The available documentation on these projects was subsequently reviewed by two Evaluation Team members that filled in a comprehensive multiple choice questionnaire for each project, covering the following aspects as described in the process guidance for this exercise.

1. Step 1:

- a. assess matching between project objectives/descriptions and FTA proposal theme objectives (also called “components”)
- b. Answer categories:
 - i. SCORE 4: The project’s objectives and approaches lie entirely within the objectives and theories of change of the theme assigned to it.
 - ii. SCORE 3: All principal project objectives and approaches lie within the objectives and theories of change of the theme assigned to it (but some less important objectives lie outside).
 - iii. SCORE 2: One or more – but not most or all – principal project objectives and approaches lie outside the objective(s) and theories of change of the theme assigned to it.

- iv. SCORE 1: Most or all principal project objectives and approaches lie outside the objective(s) and theories of change of the theme assigned to it.
 - v. No assessment provided. In this case please insert a comment explaining why.
- 2. Step 2: Choose to which SRF goal the project contributes to (taken from the proposal:
 - a. All of them
 - b. 1 and 2
 - c. 1 and 3
 - d. 2 and 3
 - e. None of them
- 3. Step 3: re-assign projects to themes, i.e. make your own “best fit” matching of projects to themes, including assigning to multiple themes.
- 4. Step 4: Assessment of cross-cutting topics.
 - a. Gender: assess how gender is covered in project proposal by choosing amongst the following categories: a) explicit strategy or approach described, b) described in general terms/principles, c) gender is not really mentioned d) project is not gender relevant.
 - b. Sentinel Landscapes (SL): a) project is about setting up an SL, b) project resides and makes use of an SL, c) project mentions SL but is not really linked to one, d) SL not mentioned
 - c. Capacity development: a) project is mostly about capacity development (is main project objective), b) capacity development is a rather independent project component (project would also function without), c) capacity development is critical for reaching project objectives (other than CD), d) capacity development not really mentioned.
 - d. Partnerships: a) project is explicit about partnerships, b) partnerships are somewhat mentioned but not explicit, c) partnerships are not really mentioned.
 - e. Theory of change (1/2): a) project describes theory of change/impact pathway explicitly (graph or narrative) mentions boundary partners and explains how impact is achieved in the end, b) project describes only vaguely how outcomes and impacts are reached, c) project does not really say how impact is achieved.

- f. Theory of change (2/2): a) project aims primarily at influencing international or regional policy, b) national policy, c) project aims primarily at adoption of approaches and techniques, c) adoption of tangible products (e.g. germplasm), a) and b), a) and c), b) and c).
- g. Impact assessment: a) a baseline study is foreseen, b) an evaluation is foreseen.
- h. Has the project identified a) output-level indicators that measure success b) outcome-level indicators that measure success and/or c) is a baseline study is part of the project? (options not exclusive).

Aggregate Analysis Results

| | | | | | | | | | | |
|---|----|----|----|----|----|--|--|---|------|--|
| Reassign components: | | | | | | | | Which SRF goal" does the project contribute to? | | |
| from ... | | | | | | | | 100 | 100% | |
| to ... | 1 | 2 | 3 | 4 | 5 | | | | | |
| 1 | | 7 | 2 | 1 | 0 | | | 10 | | |
| 2 | 1 | | 1 | 2 | 0 | | | 4 | | |
| 3 | 3 | 2 | | 1 | 1 | | | 7 | | |
| 4 | 0 | 0 | 5 | | 0 | | | 5 | | |
| 5 | 0 | 0 | 0 | 0 | | | | 0 | | |
| | | | | | | | | | | |
| | 4 | 9 | 8 | 4 | 1 | | | 26 | | |
| | 23 | 17 | 17 | 30 | 10 | | | | | |
| 17% 53% 47% 13% 10% | | | | | | | | | | |
| 27% of projects not correctly assigned in opinion of eval. team | | | | | | | | | | |

| | | | | |
|--|--|--|-----|------|
| Gender | | | 100 | 100% |
| a) explicit strategy or approach described | | | 17 | 17% |
| b) described in general terms/principles | | | 27 | 27% |
| c) gender is not really mentioned | | | 51 | 51% |
| d) project is not gender relevant | | | 5 | 5% |

| | | | | |
|--|--|--|-----|------|
| Sentinel Landscapes | | | 100 | 100% |
| a) project is about setting up an SL | | | 0 | 0% |
| b) project resides and makes use of an SL | | | 3 | 3% |
| c) project mentions SL but is not really linked to one | | | 5 | 5% |
| d) SL not mentioned | | | 92 | 92% |

| | | | | |
|---|--|--|-----|------|
| Capacity Development | | | 100 | 100% |
| a) project is mostly about capacity development | | | 5 | 5% |
| b) capacity development is a rather independent project component | | | 37 | 37% |
| c) capacity development is critical for reaching project objectives | | | 37 | 37% |
| d) CD not really, or weakly, mentioned | | | 21 | 21% |

| | | | | |
|---|--|--|-----|------|
| Partnerships | | | 100 | 100% |
| a) project is explicit about partnerships | | | 73 | 73% |
| b) partnerships are somewhat mentioned but not explicit | | | 12 | 12% |
| c) partnerships are not really mentioned | | | 15 | 15% |

| | | | | |
|---|--|--|----|------|
| ToC 1 | | | 99 | 100% |
| a) project describes theory of change / impact pathway explicitly | | | 26 | 26% |
| b) project describes only vaguely how outcomes and impacts are reached, | | | 39 | 39% |
| c) project does not really say how impact is achieved | | | 34 | 34% |

| | | | | |
|---|--|--|----|------|
| ToC 2 - Project aims primarily at: | | | 98 | 100% |
| a) influencing international or regional policy | | | 2 | 2% |
| b) influencing national policy | | | 14 | 14% |
| c) adoption of tangible products | | | 25 | 26% |
| a) and b) | | | 10 | 10% |
| a) and c) | | | 0 | 0% |
| b) and c) | | | 31 | 32% |
| a), b) and c) | | | 16 | 16% |

| Impact Assessment (IA) | | | How adequate was the level of info on the project? | | | |
|---------------------------------|----|------|--|----|------|-----|
| | 97 | 100% | | 98 | 100% | |
| a) a baseline study is foreseen | 3 | 3% | inadequate | 1 | 21 | 21% |
| b) an evaluation is foreseen | 34 | 35% | about right | 2 | 60 | 61% |
| c) both | 26 | 27% | very adequate | 3 | 17 | 17% |
| d) none | 34 | 35% | | | | |

- a. SRF Goals: 1) create and accelerate sustainable increases in the productivity and production of healthy food by and for the poor; 2) conserve, enhance and sustainably use natural resources and biodiversity to improve the livelihoods of the poor in response to climate change and other factors; and 3) promote policy and institutional change that will stimulate agricultural growth and equity to benefit the poor, especially rural women and other disadvantaged groups.

Component Results: Reassign Components

| Component 1 | | | Component 2 | | | Component 3 | | | Component 4 | | | Component 5 | | |
|-------------|---|---|-------------|---|---|-------------|---|---|-------------|---|---|-------------|---|---|
| 4 | | | 9 | | | 8 | | | 4 | | | 1 | | |
| 1 to 2 | 2 | 1 | 2 to 1 | 1 | 7 | 3 to 1 | 1 | 2 | 4 to 1 | 1 | 1 | 1 to 2 | 2 | 0 |
| 1 to 3 | 3 | 3 | 2 to 3 | 3 | 2 | 3 to 2 | 2 | 1 | 4 to 2 | 2 | 2 | 1 to 3 | 3 | 0 |
| 1 to 4 | 4 | 0 | 2 to 4 | 4 | 0 | 3 to 4 | 4 | 5 | 4 to 3 | 3 | 1 | 1 to 4 | 4 | 1 |
| 1 to 5 | 5 | 0 | 2 to 5 | 5 | 0 | 3 to 5 | 5 | 0 | 4 to 5 | 5 | 0 | 1 to 5 | 5 | 0 |

Component Results: Which SRF goal does the project contribute to?

| Component 1 | | | Component 2 | | | Component 3 | | | Component 4 | | |
|-------------|---|------|-------------|---|------|-------------|---|------|-------------|----|------|
| 23 | | 100% | 17 | | 100% | 17 | | 100% | 30 | | 100% |
| None | 0 | 0% | None | 0 | 0% | None | 1 | 6% | None | 0 | 0% |
| 1 | 5 | 22% | 1 | 4 | 24% | 1 | 0 | 0% | 1 | 0 | 0% |
| 2 | 6 | 26% | 2 | 4 | 24% | 2 | 6 | 35% | 2 | 23 | 77% |
| 3 | 0 | 0% | 3 | 1 | 6% | 3 | 0 | 0% | 3 | 0 | 0% |
| 1 and 2 | 3 | 13% | 1 and 2 | 6 | 35% | 1 and 2 | 6 | 35% | 1 and 2 | 5 | 17% |
| 1 and 3 | 1 | 4% | 1 and 3 | 0 | 0% | 1 and 3 | 2 | 12% | 1 and 3 | 2 | 7% |
| 2 and 3 | 2 | 9% | 2 and 3 | 1 | 6% | 2 and 3 | 1 | 6% | 2 and 3 | 0 | 0% |
| All of them | 6 | 26% | All of them | 1 | 6% | All of them | 1 | 6% | All of them | 0 | 0% |

Component 5

| | 10 | 100% |
|--------------|----|------|
| None of them | 1 | 10% |
| 1 | 0 | 0% |
| 2 | 0 | 0% |
| 3 | 3 | 30% |
| 1 and 2 | 0 | 0% |
| 1 and 3 | 0 | 0% |
| 2 and 3 | 6 | 60% |
| All of them | 0 | 0% |

Component Results: Gender

Component 1

| | 23 | 100% |
|--|----|------|
| a) explicit strategy or approach described | 6 | 26% |
| b) described in general terms/principles | 3 | 13% |
| c) gender is not really mentioned | 13 | 57% |
| d) project is not gender relevant | 1 | 4% |

Component 3

| | 17 | 100% |
|--|----|------|
| a) explicit strategy or approach described | 3 | 18% |
| b) described in general terms/principles | 7 | 41% |
| c) gender is not really mentioned | 7 | 41% |
| d) project is not gender relevant | 0 | 0% |

Component 5

| | 10 | 100% |
|--|----|------|
| a) explicit strategy or approach described | 1 | 10% |
| b) described in general terms/principles | 4 | 40% |
| c) gender is not really mentioned | 4 | 40% |
| d) project is not gender relevant | 1 | 10% |

Component 2

| | 17 | 100% |
|--|----|------|
| a) explicit strategy or approach described | 0 | 0% |
| b) described in gen-eral terms/principles | 2 | 12% |
| c) gender is not really mentioned | 12 | 71% |
| d) project is not gender relevant | 3 | 18% |

Component 4

| | 30 | 100% |
|--|----|------|
| a) explicit strategy or approach described | 7 | 23% |
| b) described in general terms/principles | 10 | 33% |
| c) gender is not really mentioned | 13 | 43% |
| d) project is not gender relevant | 0 | 0% |

Component Results: Sentinel Landscapes

| | | | | | |
|--|----|-----|--|----|-----|
| Component 1 | | | Component 2 | | |
| 23 100% | | | 17 100% | | |
| a) project is about setting up an SL | 0 | 0% | a) project is about setting up an SL | 0 | 0% |
| b) project resides and makes use of an SL | 0 | 0% | b) project resides and makes use of an SL | 1 | 6% |
| c) project mentions SL but is not really linked to one | 2 | 9% | c) project mentions SL but is not really linked to one | 0 | 0% |
| d) SL not mentioned | 21 | 91% | d) SL not mentioned | 16 | 94% |
| Component 3 | | | Component 4 | | |
| 17 100% | | | 30 100% | | |
| a) project is about setting up an SL | 0 | 0% | a) project is about setting up an SL | 0 | 0% |
| b) project resides and makes use of an SL | 0 | 0% | b) project resides and makes use of an SL | 1 | 3% |
| c) project mentions SL but is not really linked to one | 1 | 6% | c) project mentions SL but is not really linked to one | 2 | 7% |
| d) SL not mentioned | 16 | 94% | d) SL not mentioned | 27 | 90% |
| Component 5 | | | | | |
| 10 100% | | | | | |
| a) project is about setting up an SL | 0 | 0% | | | |
| b) project resides and makes use of an SL | 1 | 10% | | | |
| c) project mentions SL but is not really linked to one | 0 | 0% | | | |
| d) SL not mentioned | 9 | 90% | | | |

Component Results: Capacity Development

| | | | | | |
|---|----|-----|---|----|-----|
| Component 1 | | | Component 2 | | |
| 23 100% | | | 17 100% | | |
| a) project is mostly about capacity development | 1 | 4% | a) project is mostly about capacity development | 2 | 12% |
| b) capacity development is a rather independent project component | 16 | 70% | b) capacity development is a rather independent project component | 8 | 47% |
| c) capacity development is critical for reaching project objectives | 4 | 17% | c) capacity development is critical for reaching project objectives | 3 | 18% |
| d) CD not really, or weakly, mentioned | 2 | 9% | d) CD not really mentioned | 4 | 24% |
| Component 3 | | | Component 4 | | |
| 17 100% | | | 30 100% | | |
| a) project is mostly about capacity development | 0 | 0% | a) project is mostly about capacity development | 1 | 3% |
| b) capacity development is a rather independent project component | 4 | 24% | b) capacity development is a rather independent project component | 4 | 13% |
| c) capacity development is critical for reaching project objectives | 10 | 59% | c) capacity development is critical for reaching project objectives | 18 | 60% |
| d) CD not really or weakly mentioned | 3 | 18% | d) CD not really mentioned | 7 | 23% |
| Component 5 | | | | | |
| 10 100% | | | | | |
| a) project is mostly about capacity development | 0 | 0% | | | |
| b) capacity development is a rather independent project component | 5 | 50% | | | |
| c) capacity development is critical for reaching project objectives | 2 | 20% | | | |
| d) CD not really mentioned | 3 | 30% | | | |

Component Results: Partnerships

| | | | | | |
|---|----|-----|---|----|-----|
| Component 1 | | | Component 2 | | |
| 23 100% | | | 17 100% | | |
| a) project is explicit about partnerships | 19 | 83% | a) project is explicit about partnerships | 7 | 41% |
| b) partnerships are somewhat mentioned but not explicit | 1 | 4% | b) partnerships are somewhat mentioned but not explicit | 4 | 24% |
| c) partnerships are not really mentioned | 3 | 13% | c) partnerships are not really mentioned | 6 | 35% |
| Component 3 | | | Component 4 | | |
| 17 100% | | | 30 100% | | |
| a) project is explicit about partnerships | 15 | 88% | a) project is explicit about partnerships | 21 | 70% |
| b) partnerships are somewhat mentioned but not explicit | 1 | 6% | b) partnerships are somewhat mentioned but not explicit | 6 | 20% |
| c) partnerships are not really mentioned | 1 | 6% | c) partnerships are not really mentioned | 3 | 10% |
| Component 5 | | | | | |
| 10 100% | | | | | |
| a) project is explicit about partnerships | 8 | 80% | | | |
| b) partnerships are somewhat mentioned but not explicit | 0 | 0% | | | |
| c) partnerships are not really mentioned | 2 | 20% | | | |

Component Results: Tenure

| | | | | | |
|--|----|-----|--|----|-----|
| Component 1 | | | Component 2 | | |
| 23 100% | | | 17 100% | | |
| a) project is explicit about tenure | 10 | 43% | a) project is explicit about tenure | 2 | 12% |
| b) tenure is somewhat mentioned but not explicit | 1 | 4% | b) tenure is somewhat mentioned but not explicit | 0 | 0% |
| c) tenure is not really mentioned | 12 | 52% | c) tenure is not really mentioned | 15 | 88% |
| Component 3 | | | Component 4 | | |
| 17 100% | | | 30 100% | | |
| a) project is explicit about tenure | 5 | 29% | a) project is explicit about tenure | 8 | 27% |
| b) tenure is somewhat mentioned but not explicit | 4 | 24% | b) tenure is somewhat mentioned but not explicit | 3 | 10% |
| c) tenure is not really mentioned | 8 | 47% | c) tenure is not really mentioned | 19 | 63% |

Component 5

| | 10 | 100% |
|--|----|------|
| a) project is explicit about tenure | 0 | 0% |
| b) tenure is somewhat mentioned but not explicit | 0 | 0% |
| c) tenure is not really mentioned | 10 | 100% |

Component Results: Quality of Theory of Change

Component 1

| | 23 | 100% |
|---|----|------|
| a) project describes theory of change / impact pathway explicitly | 6 | 26% |
| b) project describes only vaguely how outcomes and impacts are reached, | 10 | 43% |
| c) project does not really say how impact is achieved | 7 | 30% |

Component 2

| | 17 | 100% |
|---|----|------|
| a) project describes theory of change / impact pathway explicitly | 1 | 6% |
| b) project describes only vaguely how outcomes and impacts are reached, | 6 | 35% |
| c) project does not really say how impact is achieved | 10 | 59% |

Component 3

| | 17 | 100% |
|---|----|------|
| a) project describes theory of change / impact pathway explicitly | 7 | 41% |
| b) project describes only vaguely how outcomes and impacts are reached, | 4 | 24% |
| c) project does not really say how impact is achieved | 6 | 35% |

Component 4

| | 30 | 100% |
|---|----|------|
| a) project describes theory of change / impact pathway explicitly | 11 | 37% |
| b) project describes only vaguely how outcomes and impacts are reached, | 10 | 33% |
| c) project does not really say how impact is achieved | 9 | 30% |

Component 5

| | 10 | 100% |
|---|----|------|
| a) project describes theory of change / impact pathway explicitly | 1 | 10% |
| b) project describes only vaguely how outcomes and impacts are reached, | 8 | 80% |
| c) project does not really say how (and what) impact is achieved | 1 | 10% |

Component Results: Types of Impact Pathways

| | | | | | |
|---|----|-----|---|----|-----|
| Component 1 | | | Component 2 | | |
| 23 100% | | | 17 100% | | |
| a) influencing international or regional policy | 0 | 0% | a) influencing international or regional policy | 1 | 6% |
| b) influencing national policy | 0 | 0% | b) influencing national policy | 0 | 0% |
| c) adoption of tangible products | 13 | 57% | c) adoption of tangible products | 10 | 59% |
| a) and b) | 1 | 4% | a) and b) | 1 | 6% |
| a) and c) | 0 | 0% | a) and c) | 0 | 0% |
| b) and c) | 9 | 39% | b) and c) | 5 | 29% |
| a), b) and c) | 0 | 0% | a), b) and c) | 0 | 0% |
| Component 3 | | | Component 4 | | |
| 17 100% | | | 29 100% | | |
| a) influencing international or regional policy | 0 | 0% | a) influencing international or regional policy | 1 | 3% |
| b) influencing national policy | 3 | 18% | b) influencing national policy | 4 | 14% |
| c) adoption of tangible products | 1 | 6% | c) adoption of tangible products | 0 | 0% |
| a) and b) | 0 | 0% | a) and b) | 6 | 21% |
| a) and c) | 0 | 0% | a) and c) | 0 | 0% |
| b) and c) | 8 | 47% | b) and c) | 7 | 24% |
| a), b) and c) | 5 | 29% | a), b) and c) | 11 | 38% |
| Component 5 | | | | | |
| 10 100% | | | | | |
| a) influencing international or regional policy | 0 | 0% | | | |
| b) influencing national policy | 6 | 60% | | | |
| c) adoption of tangible products | 1 | 10% | | | |
| a) and b) | 2 | 20% | | | |
| a) and c) | 0 | 0% | | | |
| b) and c) | 1 | 10% | | | |
| a), b) and c) | 0 | 0% | | | |

Component Results: Impact Assessment

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---------------------------------|-----|----|------------------------------|----|-----|---------|----|-----|---------|----|-----|--|---------------------------------|---|----|------------------------------|---|-----|---------|---|-----|---------|---|-----|--|---------------------------------|---|----|------------------------------|---|-----|---------|---|-----|---------|---|-----|
| Component 1 23 100% <table> <tr> <td>a) a baseline study is foreseen</td><td>2</td><td>9%</td></tr> <tr> <td>b) an evaluation is foreseen</td><td>6</td><td>26%</td></tr> <tr> <td>c) both</td><td>11</td><td>48%</td></tr> <tr> <td>d) none</td><td>4</td><td>17%</td></tr> </table> | a) a baseline study is foreseen | 2 | 9% | b) an evaluation is foreseen | 6 | 26% | c) both | 11 | 48% | d) none | 4 | 17% | Component 2 16 100% <table> <tr> <td>a) a baseline study is foreseen</td><td>0</td><td>0%</td></tr> <tr> <td>b) an evaluation is foreseen</td><td>6</td><td>38%</td></tr> <tr> <td>c) both</td><td>6</td><td>38%</td></tr> <tr> <td>d) none</td><td>4</td><td>25%</td></tr> </table> | a) a baseline study is foreseen | 0 | 0% | b) an evaluation is foreseen | 6 | 38% | c) both | 6 | 38% | d) none | 4 | 25% | Component 3 17 100% <table> <tr> <td>a) a baseline study is foreseen</td><td>0</td><td>0%</td></tr> <tr> <td>b) an evaluation is foreseen</td><td>7</td><td>41%</td></tr> <tr> <td>c) both</td><td>4</td><td>24%</td></tr> <tr> <td>d) none</td><td>6</td><td>35%</td></tr> </table> | a) a baseline study is foreseen | 0 | 0% | b) an evaluation is foreseen | 7 | 41% | c) both | 4 | 24% | d) none | 6 | 35% |
| a) a baseline study is foreseen | 2 | 9% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) an evaluation is foreseen | 6 | 26% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) both | 11 | 48% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) none | 4 | 17% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a) a baseline study is foreseen | 0 | 0% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) an evaluation is foreseen | 6 | 38% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) both | 6 | 38% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) none | 4 | 25% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a) a baseline study is foreseen | 0 | 0% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) an evaluation is foreseen | 7 | 41% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) both | 4 | 24% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) none | 6 | 35% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Component 4 29 100% <table> <tr> <td>a) a baseline study is foreseen</td><td>1</td><td>3%</td></tr> <tr> <td>b) an evaluation is foreseen</td><td>12</td><td>41%</td></tr> <tr> <td>c) both</td><td>3</td><td>10%</td></tr> <tr> <td>d) none</td><td>13</td><td>45%</td></tr> </table> | a) a baseline study is foreseen | 1 | 3% | b) an evaluation is foreseen | 12 | 41% | c) both | 3 | 10% | d) none | 13 | 45% | Component 5 10 100% <table> <tr> <td>a) a baseline study is foreseen</td><td>0</td><td>0%</td></tr> <tr> <td>b) an evaluation is foreseen</td><td>3</td><td>30%</td></tr> <tr> <td>c) both</td><td>2</td><td>20%</td></tr> <tr> <td>d) none</td><td>5</td><td>50%</td></tr> </table> | a) a baseline study is foreseen | 0 | 0% | b) an evaluation is foreseen | 3 | 30% | c) both | 2 | 20% | d) none | 5 | 50% | | | | | | | | | | | | | |
| a) a baseline study is foreseen | 1 | 3% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) an evaluation is foreseen | 12 | 41% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) both | 3 | 10% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) none | 13 | 45% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a) a baseline study is foreseen | 0 | 0% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b) an evaluation is foreseen | 3 | 30% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c) both | 2 | 20% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d) none | 5 | 50% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Control Question: How adequate was the level of info on the project?

| | | | | | | | | | | | |
|--------------------|---|----|-----|--------------------|---|----|-----|--------------------|---|----|-----|
| Component 1 | | | | Component 2 | | | | Component 3 | | | |
| 23 100% | | | | 17 100% | | | | 17 100% | | | |
| inadequate | 1 | 5 | 22% | inadequate | 1 | 7 | 41% | inadequate | 1 | 2 | 12% |
| about right | 2 | 18 | 78% | about right | 2 | 10 | 59% | about right | 2 | 12 | 71% |
| very adequate | 3 | 0 | 0% | very adequate | 3 | 0 | 0% | very adequate | 3 | 3 | 18% |
| Component 4 | | | | Component 5 | | | | | | | |
| 28 100% | | | | 10 100% | | | | | | | |
| inadequate | 1 | 5 | 18% | inadequate | 1 | 1 | 10% | | | | |
| about right | 2 | 10 | 36% | about right | 2 | 8 | 80% | | | | |
| very adequate | 3 | 13 | 46% | very adequate | 3 | 1 | 10% | | | | |

Annex E. Synthesis of Performance in Achieving 2012 and 2013 Output Targets

| Theme | Jan- Jun 2012 | Σ | Jan- Dec 2012 | Σ | Jan- Jun 2013 | Σ | Jan- Dec 2013 | Σ |
|---------|---------------|----|---------------|----|---------------|----|---------------|----|
| 6.1.1.1 | 0 | 4 | 0 | 4 | 0 | 4 | 0 | 4 |
| 6.1.1.2 | 0 | 11 | 0 | 11 | 0 | 7 | 0 | 7 |
| 6.1.1.3 | 1 | 4 | 0 | 5 | 2 | 5 | 7 | 7 |
| 6.1.2.1 | 0 | 4 | 0 | 4 | 1 | 14 | 15 | 15 |
| 6.1.2.2 | 1 | 1 | 0 | 2 | 2 | 0 | 6 | 6 |
| 6.1.2.3 | 0 | 1 | 0 | 1 | 0 | 3 | 3 | 3 |
| 6.1.2.4 | 0 | 3 | 0 | 3 | 0 | 0 | 0 | 0 |
| 6.1.3.1 | 2 | 7 | 2 | 11 | 8 | 3 | 11 | 11 |
| 6.1.3.2 | 0 | 2 | 0 | 2 | 2 | 0 | 2 | 2 |
| 6.1.3.3 | 2 | 2 | 0 | 4 | 4 | 0 | 0 | 0 |
| 6.1.3.4 | 0 | 1 | 0 | 1 | 1 | 0 | 0 | 0 |
| 6.1.4.1 | 0 | 0 | 0 | 0 | 48 | 0 | 0 | 48 |
| 6.2.1.1 | 0 | 1 | 0 | 1 | 1 | 1 | 0 | 1 |
| 6.2.1.2 | 0 | 1 | 0 | 1 | 2 | 0 | 2 | 3 |
| 6.2.1.3 | 0 | 1 | 0 | 1 | 2 | 0 | 2 | 2 |
| 6.2.2.1 | 0 | 1 | 0 | 1 | 1 | 1 | 0 | 2 |
| 6.2.2.2 | 1 | 2 | 1 | 4 | 3 | 1 | 1 | 5 |
| 6.2.2.3 | 1 | 1 | 0 | 2 | 1 | 1 | 0 | 2 |
| 6.2.3.1 | 2 | 0 | 0 | 2 | 2 | 0 | 2 | 2 |
| 6.2.3.2 | 0 | 2 | 0 | 2 | 2 | 0 | 2 | 1 |
| 6.2.3.3 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| 6.2.4.1 | 1 | 0 | 0 | 1 | 16 | 1 | 0 | 1 |
| 6.3.1.1 | 0 | 3 | 0 | 3 | 3 | 0 | 3 | 3 |
| 6.3.1.2 | 2 | 4 | 0 | 6 | 6 | 1 | 0 | 7 |
| 6.3.1.3 | 0 | 5 | 0 | 5 | 4 | 1 | 0 | 5 |
| 6.3.1.4 | 3 | 12 | 0 | 15 | 13 | 4 | 0 | 17 |
| 6.3.1.5 | 0 | 5 | 0 | 5 | 4 | 1 | 0 | 5 |
| 6.3.2.1 | 0 | 2 | 0 | 2 | 2 | 0 | 2 | 2 |
| 6.3.2.2 | 2 | 1 | 0 | 3 | 2 | 1 | 0 | 3 |
| 6.3.2.3 | 1 | 1 | 0 | 2 | 2 | 0 | 2 | 2 |
| 6.3.2.4 | 2 | 3 | 0 | 5 | 4 | 1 | 0 | 5 |
| 6.3.2.5 | 3 | 6 | 0 | 9 | 8 | 1 | 0 | 9 |
| 6.3.2.6 | 2 | 6 | 0 | 8 | 6 | 2 | 0 | 8 |
| 6.3.3.1 | 0 | 4 | 0 | 4 | 3 | 1 | 0 | 4 |
| 6.3.3.2 | 1 | 2 | 0 | 3 | 3 | 0 | 3 | 3 |
| 6.3.3.3 | 1 | 2 | 0 | 3 | 2 | 1 | 0 | 3 |
| 6.3.3.4 | 1 | 2 | 0 | 3 | 3 | 0 | 3 | 3 |
| 6.3.3.5 | 0 | 2 | 0 | 2 | 78 | 0 | 2 | 81 |
| 6.4.1.1 | 5 | 3 | 1 | 9 | 6 | 3 | 1 | 10 |
| 6.4.1.2 | 1 | 3 | 0 | 4 | 2 | 2 | 0 | 4 |
| 6.4.1.3 | 2 | 4 | 0 | 6 | 3 | 3 | 0 | 6 |
| 6.4.2.1 | 0 | 5 | 0 | 5 | 3 | 3 | 0 | 6 |
| 6.4.2.2 | 3 | 2 | 0 | 5 | 4 | 1 | 0 | 5 |
| 6.4.2.3 | 1 | 4 | 0 | 5 | 2 | 3 | 0 | 5 |
| 6.4.3.1 | 1 | 1 | 0 | 2 | 2 | 0 | 2 | 2 |
| 6.4.3.2 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| 6.4.3.3 | 0 | 1 | 0 | 1 | 38 | 0 | 1 | 40 |
| 6.5.1.1 | 5 | 3 | 0 | 8 | 5 | 2 | 0 | 7 |
| 6.5.1.2 | 0 | 4 | 0 | 4 | 3 | 1 | 0 | 4 |
| 6.5.1.3 | 0 | 3 | 1 | 4 | 3 | 0 | 1 | 4 |
| 6.5.2.1 | 1 | 2 | 0 | 3 | 3 | 0 | 3 | 3 |
| 6.5.2.2 | 2 | 1 | 0 | 3 | 2 | 1 | 0 | 3 |
| 6.5.2.3 | 1 | 2 | 0 | 3 | 25 | 3 | 0 | 28 |

| | Cross-Cutting | Jan- Jun 2012 | Σ | Jan- Dec 2012 | Σ | Jan- Jun 2013 | Σ | Jan- Dec 2013 | Σ |
|---------|---------------|---------------|---|---------------|----|---------------|---|---------------|---|
| 6.6.1.1 | 2 | 3 | 0 | 5 | 0 | 0 | 0 | 0 | 0 |
| 6.6.1.2 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 |
| 6.6.1.3 | 3 | 2 | 0 | 5 | 11 | 0 | 0 | 0 | 0 |
| 6.7.1.1 | 2 | 1 | 0 | 3 | 0 | 1 | 0 | 1 | 1 |
| 6.7.1.2 | 1 | 2 | 0 | 3 | 1 | 2 | 0 | 3 | 3 |
| 6.7.1.3 | 1 | 5 | 0 | 6 | 0 | 5 | 0 | 5 | 5 |
| 6.7.1.4 | 1 | 2 | 0 | 3 | 15 | 0 | 2 | 0 | 2 |
| 6.8.1.1 | 1 | 1 | 0 | 2 | 1 | 1 | 0 | 2 | 2 |
| 6.8.1.2 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 1 |
| 6.8.1.3 | 0 | 4 | 0 | 4 | 0 | 4 | 0 | 4 | 4 |
| 6.8.1.4 | 1 | 2 | 0 | 3 | 10 | 1 | 2 | 0 | 3 |
| 6.9.1.1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 6.9.1.2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 6.9.1.3 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

| Theme | Jan- Jun 2012 | Σ | Jan- Dec 2012 | Σ | Jan- Jun 2013 | Σ | Jan- Dec 2013 | Σ |
|-----------|---------------|-----|---------------|-----|---------------|----|---------------|-----|
| 6.1 | 6 | 40 | 2 | 48 | 45 | 3 | 0 | 48 |
| 6.2 | 5 | 10 | 1 | 16 | 15 | 5 | 1 | 21 |
| 6.3 | 18 | 60 | 0 | 78 | 65 | 16 | 0 | 81 |
| 6.4 | 13 | 24 | 1 | 38 | 22 | 17 | 1 | 40 |
| 6.5 | 9 | 15 | 1 | 25 | 19 | 4 | 1 | 24 |
| Σ Outcome | 51 | 149 | 5 | 205 | 166 | 45 | 3 | 214 |

| Theme | Jan- Jun 2012 | Jan- Dec 2012 | Jan- Jun 2013 | Jan- Dec 2013 |
|-----------|---------------|---------------|---------------|---------------|
| 6.1 | 13% 83% 4% | 94% 6% 0% | 11% 89% 0% | 100% 0% 0% |
| 6.2 | 31% 63% 6% | 71% 24% 5% | 13% 88% 0% | 61% 39% 0% |
| 6.3 | 23% 77% 0% | 80% 20% 0% | 36% 64% 0% | 93% 7% 0% |
| 6.4 | 34% 63% 3% | 55% 43% 3% | 33% 65% 2% | 60% 38% 2% |
| 6.5 | 36% 60% 4% | 79% 17% 4% | 15% 85% 0% | 62% 38% 0% |
| Σ Outcome | 25% 73% 2% | 78% 21% 1% | 23% 77% 1% | 80% 20% 1% |

completed
on going
delayed
not available

2012 milestones further monitored in Jan-June 2013

| FTA Outcome | Cross-Cutting | Jan- Jun 2012 | Σ | Jan- Dec 2012 | Σ | Jan- Jun 2013 | Σ | Jan- Dec 2013 | Σ |
|-------------|---------------|---------------|---|---------------|---|---------------|---|---------------|----|
| Gender | 5 | 6 | 0 | 11 | 0 | 0 | 0 | 3 | 1 |
| SL | 5 | 10 | 0 | 15 | 1 | 10 | 0 | 6 | 6 |
| Commun. | 2 | 8 | 0 | 10 | 2 | 8 | 0 | 11 | 10 |
| M+E | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 7 | 6 |
| Σ Outcome | 12 | 24 | 0 | 36 | 3 | 18 | 0 | 27 | 23 |

| Cross-Cutting | Jan- Jun 2012 | Jan- Dec 2012 | Jan- Jun 2013 | Jan- Dec 2013 |
|---------------|---------------|---------------|---------------|---------------|
| Gender | 45% 55% 0% | 0% 0% 0% | 0% 100% 0% | 33% 67% 0% |
| SL | 33% 67% 0% | 9% 91% 0% | 0% 100% 0% | 67% 33% 0% |
| Commun. | 20% 80% 0% | 20% 80% 0% | 27% 73% 0% | 91% 9% 0% |
| M+E | 0% 0% 0% | 0% 0% 0% | 57% 29% 14% | 75% 13% 13% |
| Σ Outcome | 33% 67% 0% | 14% 86% 0% | 26% 70% 4% | 85% 26% 4% |

completed
on going
delayed
not available

Annex F. Sample projects overview

| No. | Title | Component | Start/end date | Budget | Lead Center | PI |
|-----|--|--------------|---|-----------------------|-------------|--|
| 1 | Improving Sustainable Productivity in Farming Systems and Enhanced Livelihoods through Adoption of Evergreen Agriculture in Eastern Africa | 1 | June 2012 - May 2016 | about USD 6 million | ICRAF | Catherine Muthuri |
| 2 | Tree Crops Development in Africa and Asia to Benefit the Poor | 1 and 2 | September 2012 - April 2014 | EUR 2 million | ICRAF | Ramni Jamnadass |
| 3 | Global Comparative Bush-meat Initiative | 1 and 2 | 2010 - 2013 | USD 1.8 million | CIFOR | Robert Nasi, Miguel Pinedo |
| 4 | Threats to priority food tree species in Burkina Faso: drivers of resource losses and mitigation measures | 2 and Gender | June 2012 - May 2015 | USD 0.67 million | CIFOR | CIFOR: Houria Djoudi Biodiversity: Barbara Vinceti |
| 5 | Beyond timber: Reconciling the needs of the logging industry with those of forest-dependent people | 2 | (Conceived in 2008) 2011 - December 2014 | EUR 1.530.588 million | Bioversity | Grant Manager: Laura Snook, Project Coordinator: Julius Tieguhong |
| 6 | AgFor Sulawesi: Agroforestry and Forestry in Sulawesi: Linking Knowledge with Action | 3 | 2011 - 2016 | USD 9.34 million | ICRAF | James Roshetko |
| 7 | Building Biocarbon and Rural Development in West Africa (BIODEV) | 1, 3 and 4 | end of 2012-2016 | EUR 10 million | ICRAF | Henry Neufeldt |
| 8 | Architecture of REALU: Reducing Emissions for All Land Use (Phase II). Donor NORAD | 1, 3 and 4 | January 2012 - June 2013 | USD 4.76 million | ICRAF | Dr Peter Akong Minang |

| No. | Title | Component | Start/end date | Budget | Lead Center | PI |
|-----|---|------------------|---|---|-------------|----------------------|
| 9 | Gender, Tenure and Community Forest in Uganda and Nicaragua | Gender, (Tenure) | | First Phase: EUR 660.161 Second Phase: EUR 765.418 | CIFOR | E. Mwangi, A. Larson |
| 10 | Global Comparative Study in REDD+ | 4 | 2009 - 2018 | 2013-2016: USD 33.8 million | CIFOR | |
| 11 | Chinese trade and investment in Africa: Assessing and governing trade-offs to national economies, local livelihoods and forest ecosystems | 5 | March 2010 - November 2013 | EUR 1.2 million | CIFOR | Luis Putzel |
| 12 | Mahogany and teak furniture: action research to improve value chain efficiency and enhance livelihoods | 1 (better 5) | 2008 - early 2013 | USD 1 million | CIFOR | Herry Purnomo |
| 13 | Oil palm: Landscapes, market chains and investment flows | SL | June 2013 - December 2013 (preparatory phase) | USD 180 000 | CIFOR | Pablo Pacheco |
| 14 | PRO-FORMAL: Policy and Regulatory Options to recognize and better integrate the domestic timber sector in tropical countries | 5 | July 2010 - December 2013 | EUR 3.75 million | CIFOR | Paolo Cerutti |
| 15 | Adaptation of people to climate change in East Africa: Forest ecosystem services, risk reduction and well-being ("AdaptEA") | 4 | December 2011 - June 2015 | USD 0.658 million | CIFOR | Aaron Russell |
| 16 | Informing policy through optimizing timber and non-timber extraction in the Peruvian Amazon | 2 and 3 | 2010-2013 | USD 1.5 million | CIFOR | Manuel Guariguata |

Annex G. Guidance on governance in the CGIAR context

This annex lists guidance on principles and functions of governance arrangements for global partnership programs in general, of CGIAR BOTs, and of two types of programmatic approaches the CGIAR has tested in earlier years, before summarizing concrete guidance provided on CRP governance structures. This is done for future reference, to ensure prior experience is incorporated into the analysis of this evaluation, and that the ensuring recommendations are derived in a “form follows function” approach.

General principles and functions for global program governance. Governing arrangements of global programs differ widely in structure but usually seek to deliver a similar set of governance functions and aim at adhering to a general set of good governance principles. Useful general guidance for functions and principles of global partnership program governance is provided by an OECD DAC-endorsed evaluation sourcebook (Independent Evaluation Group, 2007) that derives six core functions and seven generally accepted principles of good governance for global partnership programs from the internationally accepted set of OECD Principles of Corporate Governance, taking into account the key differences between Global Partnership Programs and Corporations.¹ This set of general functions and good practice principles of global partnership program governance are listed below.

| Typical Governance Functions | Good Governance Principles |
|------------------------------------|----------------------------|
| Providing strategic direction | Legitimacy |
| Overseeing management | Accountability |
| Ensuring stakeholder participation | Responsibility |
| Management of risk | Fairness |
| Management of conflicts | Transparency |
| Overseeing audit and evaluation | Efficiency |
| | Probity |

¹ Namely the absence of tradable shares, the need to establish legitimacy on a basis other than shareholder rights, and the greater need for transparency in the use of public sector resources in achieving public policy goals (Independent Evaluation Group, 2007, p. 72).

A recent IEA CRP governance review, which will be revisited in more detail later in this section, used the same functions and criteria as starting point, and derived a slightly adapted set of functions for a CRP governing.²

Principles and functions of CGIAR Center Governance have been synthesized in the 2007 CGIAR Guidelines on Center Governance (CGIAR Secretariat, 2007) and were also reflected in the governance checklist of the CGIAR's former Performance Management System (PMS). In 2013, an additional checklist for good governance of BOTs was developed as part of the CGIAR Good Governance Framework. Both sets of guidance are extensive – center governance guidelines are probably the most advance governance guidance the CGIAR has developed – and will not be summarized here. However, it should be noted that BOT members serve in independent and personal capacity and have to declare and reclude themselves from discussions and decisions in case of conflict of interest.

Guidance for governance of CGIAR Systemwide and CGIAR Ecoregional Programs (SWEPS).

Two principal types of collaborative programs are subsumed under the acronym SWEP: Systemwide Programs, focused on particular research themes common to a group of Centers, and Ecoregional Programs, focused on sustainable agriculture in specific agro-ecological zones. Sometimes, other system-wide initiatives the CGIAR has entertained are also referred to as SWEPS. Overall, SWEPS varied widely in size, scope and in their governance arrangements.

In 2006, a meta-evaluation of the portfolio of 17 SWEPS reached various overall conclusions and issued four governance-related recommendations. In the same year, the CGIAR Secretariat issued criteria for the assessment of new SWEPS that includes a section on governance and management, to the knowledge of the evaluation team, the closest there is to principles for SWEP governance (SC Secretariat, 2006):

- the program is to be coordinated by an agreed management structure endorsed by Director Generals of the Centers involved in the partnership;

² The CRP governing body's responsibilities should include:

- strategic oversight of the program, including priority setting and the evaluation of results
- overseeing external evaluations of CRP programs and activities
- maintaining awareness of stakeholder perspectives and needs
- serving as the direct report for the CRP leader and conducting an annual performance review (and overseeing the selection process when necessary)
- reporting at least annually to the lead center's board through the lead center board chair or the chair of the board's program committee
- serving as an expert resource to the CRP and the senior management team

- the arrangements for administrative support (to be provided by one of the core parties) are satisfactory. The Board of each participating Center is accountable for the input resources and delivery of agreed outputs of that core party;
- there are clear lines of accountability and clear institutional arrangements spelling out roles, responsibilities, rules of operation, and conflict resolution in a formal agreement signed off at the appropriate legal level by each Program party;
- there are clear and satisfactory arrangements for handling legal responsibilities and there is full adherence to the CGIAR's IPR policy.

Guidance on Challenge Program (CP) governance. The 2007 Charter of the CGIAR defined CPs as follows: “A Challenge Program is a time-bound program of high-impact research that falls within the scope of the CGIAR mission, seeks to resolve complex issues of overwhelming global and/or regional significance (and, if the latter, with global impact), and requires partnerships among a wide range of institutions to develop and deliver its products.”

Overall, five CPs were operated in the CGIAR of which four were externally reviewed, including their governance arrangements. Together with the Science Council, the CGIAR Secretariat published cross-cutting lessons on CPs, including on governance, in 2008 (Science Council and CGIAR Secretariat, 2007) and a related set of CP governance principles was endorsed by the CGIAR Executive Committee in the same year (CGIAR Secretariat, 2008; Palenberg, Markus, Institute for Development Strategy, 2008):³

- “set up CPs as non-incorporated, hosted organizations;
- clarify responsibilities between CP and host on the governance and on the operational level;
- avoid unnecessary institutional representation in CP governance but respect legitimate host interests;
- establish an effective vertical chain of command;
- allow for the possibility of governance evolution during the CP’s lifetime.”

It is important to keep two differences between CPs and CRPs in mind. On the one hand, for CPs, independent governance was a definitional requirement with the hope to lower barriers for participation of non-CGIAR institutions. On the other hand, CPs had dedicated funding, i.e. in addition to unrestricted funds passing through the CGIAR system, bilateral

³ For the sake of transparency it should be noted that the Team Leader of this evaluation was panel member in three Challenge Program Reviews and tasked to synthesize cross-cutting lessons learnt and to suggest CP governance principles for the 14th meeting of the CGIAR Executive Council.

donors would usually contribute to the entire CP or to components thereof – in contrast to the situation portrayed for bilateral funding in FTA.

CRP-specific guidance. In the early years of the CGIAR reform, there appears to have been little guidance on functions and good practice principles of CRP governance. However, in February 2011, the Strategy and Results Framework prescribed two basic elements of CRP governance while leaving the approval of the most appropriate governance arrangement for each CRP in the hands of the Consortium Board (CGIAR, 2011, p. 77):

“The Lead Center in consultation with other participating Centers will establish:

- a. a Planning and Management Committee composed of a representative of the Lead Center, a representative of each participating Center, and a representative of other partners that have substantial responsibilities in the implementation of the CRP. This Committee will oversee the planning, management and implementation of the CRP;
- b. a mechanism to ensure that the work in the CRP is of the highest quality; this will usually include a Scientific Advisory Committee composed of individuals who can bring together state-of-the art scientific expertise and insights on strategy, partners, etc. This Committee will advise, report, and be accountable to the Planning and Management Committee.

[...] Since the Consortium Board is ultimately accountable for the efficiency of individual CRPs, it will approve the most appropriate governance arrangement in each particular case taking into consideration the characteristics and specificities of individual CRPs.”

However, it is unclear how this architectural prescription was derived, since no rationale is provided and no reference is made to earlier findings.

Recently, in March 2014, an IEA “Review of CGIAR Research Programs Governance and Management” recommended for each CRP to:

“Create a single, balanced governing body for each CRP that reports directly to the lead center board on the performance of the program. The CRP governance body should bring together appropriate expertise, include a majority of independent expert members, and accommodate lead center and partner representation.”

This recommendation changed the earlier SRF guidance in two ways: it recommends a majority of independent expert members and clarifies that reporting of that extended body should be to the Lead Center BOT.

Annex H. Report of the Panel of Experts

Evaluation of the CGIAR Research Programme “Forests, Trees and Agroforestry” (FTA)

Prepared by Dr. Bhaskar Vira, in collaboration with Dr. Sandra Luque, Dr. Fredrick Owino and Dr. Markku Simula

1. Background

The establishment of an Expert Panel to review the evaluation is part of the quality assurance process of a CRP Evaluation. The Expert Panel was selected by the IEA and is comprised of four external, independent internationally renowned experts from across a range of disciplines related to forestry and agro-forestry. The expert bios are provided at the end of this report.

The purpose of the Expert Panel was to provide impartial technical judgment on the evaluation report, in particular on its findings, conclusions and recommendations, and to provide recommendations to the evaluation Team Leader and the IEA for finalizing the report. Led by the Panel Chair, the expert panel focused on relaying both specific and general comments on the evaluation report. The general comments and feedback were discussed in a webinar among the Panel members, the IEA, the Team Leader, and selected team members. This report synthesizes the individual comments on the draft report made by the Panel members and the webinar’s discussion. It was prepared by the Expert Panel Chair in collaboration with other Panel members.

2. Expert Panel Assessment

2.1 General comments

The evaluation team should be congratulated on their report, in light of the complexity of the subject of the evaluation. FTA is an ambitious programme that cuts across the work of four Centres – CIFOR, ICRAF, Bioversity International and CIAT – and has a long term vision which combines research excellence with developmental impact and innovative partnership arrangements. The review team has delivered well against the Terms of Reference.

The team’s findings are based on evidence and well balanced across the evaluation questions which guided the review. However, the evaluation did not have adequate performance indicators and quantitative assessments of progress, given the scale of overall

investment in FTA; this partly reflects the structure of the programme, rather than any particular shortcomings of the evaluation process itself.

A limitation of the evaluation is that the draft report does not present a long-term vision for the FTA programme. It reads more as a forward-looking mid-term evaluation, rather than analysing the underlying long-term vision of research needs of FTA. Undertaking an evaluation at this stage is a useful way to take stock of experience so far, and to offer thoughts about course correction and changes that might be needed to achieve the goals of the programme. Equally, it would be useful to reflect on the longer-term goals for FTA as a cross-cutting programme.

Some of the recommendations are fairly generic and should be made actionable by providing more “how to” advice. The next stages of this evaluation and review process are not entirely clear, but are likely to involve close consultation with the management team for FTA and the coordinators of the major research themes and cross-cutting activities, as well as senior management of the four Centers that are involved with the delivery of the programme. It would be sensible to use the insights from this report to evolve specific and actionable goals for the programme team(s).

The report is too long and repetitive in places and would benefit from being condensed. The Executive Summary should be shorter and crisper, focusing on the key findings and limiting the narrative to a minimum.

2.2 Relevance

The Evaluation Report should stress the FTA programme’s limited coverage of the “core” forest research that includes forest resource assessment, forest management planning, silviculture, harvesting and utilization. The Lead Centre’s focus on policy oriented research has produced important results, but this area is subject to increasing research activity by a plethora of other international institutions and actors. On the “core” forest research on the other hand, there is no equivalent international body that could carry out strategic international research by forest types. Forestry will face the same challenges as agriculture towards sustainable intensification, which requires constantly improving performance of the world’s forests to provide necessary goods and services. These issues should in principle be dealt with under Component 2, but they are not really within the mandate and resources of the Bioversity International (the new strategy of Bioversity apparently does not make a direct reference to SFM of production forests for multiple uses). This is an important role for FTA, and the evaluation team could highlight this in their report.

The draft report correctly points out that FTA as a programme is weak in dealing with extra-sectoral issues related to forests (water, energy, agriculture and wildlife; these are especially important for mountain forests). It would be worth emphasizing more the missed opportunity in looking at 'extra-sectoral' issues and synergies and trade-offs, especially in relation to the MDGs/SDGs.

The Evaluation report should also recommend a shift in the focus of Component 3, which appears to be built on the paradigm of the forest and land use transition curve. In fact, it looks like this framework has been adopted for FTA as a whole, which may provide too narrow a view since the framework implicitly disregards the vast areas of forests that are not in the land use change frontier but are in need of sustainable management to enhance their provision of a broad variety of goods and services. This component should work towards adaptive forest management practices to balance multiple objectives under changing environmental conditions at different hierarchical scale levels, from individual sites to the landscape level. Component 3 should focus not only on degraded, fragmented landscapes and restoration, but also on a holistic integrative approach to multifunctional systems. Adaptive management should be at the heart of the programme in order to integrate sustainable agroforestry principles and needs.

The Expert Panel agrees that Component 5 appears to have focused more on mitigation of negative impacts of trade and investment, and that this represents a narrow view on the contribution of FTA activities to sustainable development and in particular poverty reduction. While the recognition of the informal sector in these activities has been strengthened as an FTA research outcome, there is a broader array of strategic research topics related to the potential contribution of FTA activities to economic and social development that has suffered from this narrow focus.

The review team correctly calls for expanding the scope of research into land and forest tenure. However, this will require an additional review of institutions involved with the FTA programme, as there are a number of other centers/organizations with comparative advantages in land and tree tenure research.

The Evaluation Report has an important discussion about the FTA's conceptual model and 'theory of change' (p.50-53), and recommends that this requires careful thought and further development, which the Expert Panel agrees with. Any overall evaluation of the programme will need to consider this theory of change, so this is clearly an important and urgent issue. While relevance from the partners' perspective (including donors) is important, even more important is relevance for the ultimate beneficiaries of FTA research, which must be the core focus for a programme-level theory of change.

Finally the Expert Panel concurs with the reviewers finding that there is too much emphasis on REDD+ research. This is clearly donor-driven and may not be sustained in the medium and long-term.

2.3 Quality of science

The Panel agrees on the need to highlight the lack of expertise on forest economics in the lead Centre, which is rather surprising for an organization considered as a center of excellence for policy-oriented research. As FTA promotes multidisciplinary by definition, this weakness needs to be clearly flagged.

The position of FTA on the issue of access to publication was only marginally addressed in the report. There is a growing consensus that publicly-funded research should be available in forms of open access, and the academic and publishing models that have worked to restrict access to scientific outputs need to be reconsidered. Individual donors and funders who support the FTA institutions often have particular requirements in relation to open access (to outputs, as well as to data and other knowledge products), but the evaluators should comment explicitly on this issue in the evaluation report.

It may be worth highlighting, especially in relation to the FTA's overall theory of change, the role of publication (in the peer review literature) in terms of ultimate development impact. For a programme like FTA, it is important that publication is not seen as an end in itself, but as facilitating the change that is desired in actual policies and practices. This comment could be reinforced within the evaluation report.

2.4 Programme effectiveness

FTA considerably expands the body of forestry and agroforestry related research. At the same time however, the impact pathways of past knowledge remain unclear. This raises the question of whether future research should look into these pathways in a systematic manner rather than leaving it for a theoretical exercise by the Programme. Such research could be a cross-cutting activity to improve effectiveness and cover all the FTA components as the impact pathways are likely to differ between types of research.

The report highlights the challenge of scaling up work that is, by definition, often case study based and location- and/or country-specific. While the report recognizes “mainstreaming” as a critical element for effectiveness, it does not elaborate on options for improving the approach, which appears to rely primarily on communications. Again, a clearer

understanding of impact pathways and theories of change would support a more integrated approach to scaling up, across all the partners and participating Centers.

There are some good overall comments and conclusions on programme effectiveness, all well founded on the evidence and proposing sensible ways forward for FTA. While these observations are important, the comment by the evaluation team about “the limits of what research findings can contribute to ultimately very complex political decision-making processes” (p.71) is worth keeping in mind in any discussion of theories of change and programme effectiveness. The review team’s conclusions on a pragmatic approach in developing indicators and monitoring appear sound, in this context.

2.5 Cross-cutting activities

2.5.1 Sentinel landscapes

The Expert Panel agrees with the reviewers’ observations about the risks with the Sentinel Landscapes activities, and their overall added value to FTA. It is not clear that this needs to be a continued strategic priority for FTA, without careful review and justification. In the long run, responsibilities for data collection and analysis must rest with national research institutions, rather than perpetuating such landscapes as ‘international research stations’.

The Panel particularly shares the views of the reviewers that there are risks of (i) lack of sustained involvement of host government authorities in capacity building for the Sentinel Landscapes project and (ii) lack of donor or other funding support in the long-term for ‘data observatories’.

The Expert Panel therefore believes that the Evaluation should strengthen its recommendations and be more explicit about the need for a strong business case for continued investment in Sentinel Landscapes on the part of FTA.

2.5.2 Capacity development

The draft report identifies capacity development as more of a Centre-based activity, rather than cutting across FTA as a whole, and appropriately suggests that a broader approach across the Centers might provide considerable opportunities and synergies. The conclusions on capacity development of the Evaluation Team are fully supported but, given the importance of capacity development for delivery, the issues should be addressed in a recommendation either in Recommendation 4 dealing with boundary partners as a whole, or in an explicit recommendation on Capacity Development.

The role of, and relationship with, country-level institutions for capacity development could be further highlighted. While external research by international organizations remains important, it is increasingly important for this research to reflect and work with national level priorities and institutions, and the report could include some specific comments in relation to this issue.

2.6 Value added of FTA

The interface with other CRPs, notably CRPs 5 on Water, Land and Ecosystems and 7 on Climate Change Agriculture and Food Security were not explored – synergies within these CRPs could be sought in order to increase the value added of FTA.

The report could comment further on the role of national FTA research institutions, and how a programme like CRP-FTA could potentially increase the influence and credibility of in-country research.

The Expert Panel agrees with the overall conclusion of the review team that the huge potential of CRP-FTA is yet to be realized – this is seen as a constructive, mid-term evaluation of work so far, and a challenge to the FTA team to deliver on the considerable promise (and investment) associated with the programme.

3. Annex – Members of the Expert Panel

Dr Bhaskar Vira (Chair)

Director, University of Cambridge Conservation Research Institute & Senior Lecturer, Department of Geography. Bhaskar is chairing the recently formulated IUFRO-led Global Forest Expert Panel on Forest and Food Security.

Dr. Vira is trained as an economist, and works on the political economy of environment and development. He supervises a group of doctoral research students working in the Society, Environment and Development Research Cluster in the Department of Geography. Dr. Vira is particularly interested in incentives for natural resource use and management, state-society interactions over natural resources, and multi-stakeholder partnerships for natural resource management. His research has been supported by, among others, the Wellcome Trust, the Nuffield Foundation and NERC-ESRC-DFID's Ecosystem Services for Poverty Alleviation (ESPA) program. He was a coordinating lead author for the Millennium Ecosystem Assessment and the UK National Ecosystem Assessment.

Dr. Sandra Luque

Research Director at IRSTEA - National Research Institute of Science and Technology for Environment and Agriculture, France

Dr. Luque is a landscape ecologist whose research interests cover a broad range of areas that include geography, ecology, global change (terrestrial ecosystems), landscape change dynamics, biodiversity indicators and conservation and management of natural resources, in particular forests. Her interests and experience focuses on spatial heterogeneity and landscape patterns and its implications for communities, and ecosystem processes. The main focus of her research is on spatio-temporal dynamics and disturbances at the landscape level. Within this context, Dr. Luque emphasizes the key role that the human dimension imprints on both, obvious and subtle impacts on ecosystems.

Dr. Luque is currently a senior visiting scholar at the University of St Andrews and has previously worked as a Senior Research Scientist with the METLA Finnish Forest Inventory Research Institute. She was also a Senior Research Fellow at the University of Cambridge and a professional Consultant with UNCTAD.

Dr. Fredrick Owino

Managing Director, Forest Resources International, Kenya

Professor Fredrick Owino has a long career in forestry research and higher education in East Africa. He has served as the head of the Department of Forestry, University of Nairobi in the 1970's, as the dean of the Faculty of Forest Resources and Wildlife Management of Moi University in the 1980's, and as scientist at the World Agroforestry Centre (ICRAF) in the 1990's. After that he has accomplished a wide range of short-time consultancy assignments in several African countries, and served as negotiator for international agreements on forests. In 2014, Professor Owino was appointed as Honorary Doctor by the University of Helsinki.

His research focuses on Forestry education and training, tree improvement research, forest policy, integrated natural resources management, and forest and wildlife conservation.

Dr. Markku Simula

University of Helsinki, Adjunct Professor of Forest Economics, Finland

Dr. Markku Simula is an international specialist on the economics of forestry and forest industries, policy analysis, sectoral and corporate planning and environmental management in the forestry sector.

Simula has more than 30 years of experience of international consulting and research work for international organizations, multilateral development banks, government agencies and the private sector. He has headed several large forestry projects in Africa, Asia, Europe and Latin America, and held posts in international forestry organisations and professional affiliations. Dr. Simula served as the Chief Executive Officer of Indufor Oy in 1980-2003 and has since then worked as an independent consultant.

Simula worked for ECA/FAO Forest Industries Advisory Group in Addis Abeba as Forest Industries Marketing Expert in 1974-76. Since then he has carried out several consulting assignments for FAO including on forest degradation, forest definitions, certification and other policy work.