



Independent
Advisory and
Evaluation
Service



Evaluation of the CGIAR Genebank Platform: Inception Report

*S. Humphrey, D. Coombs, S. Sellitti, H. Pritchard,
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Cover image: © Michael Major/Crop Trust. ICARDA Terbol Station in Beqaa Valley, Lebanon. Collecting Medicago seed in regeneration plots of ICARDA Terbol.

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Cover image: © Michael Major/Crop Trust. ICARDA Terbol Station in Beqaa Valley, Lebanon.

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List of Acronyms

| | |
|------------|---|
| ABS | Access and Benefit Sharing |
| AFS | CRP Agri-Food System CGIAR Research Program |
| AfricaRice | Africa Rice Center |
| AGM | Annual Genebanks Meeting |
| CAA | Comparative Advantage Analysis |
| CBD | Convention on Biological Diversity |
| CGRFA | Commission on Genetic Resources for Food and Agriculture |
| CIAT | International Center for Tropical Agriculture (now part of the Alliance of Bioversity International and CIAT) |
| CIMMYT | International Maize and Wheat Improvement Center |
| CIP | International Potato Center |
| CoP | Community of practice |
| Crop Trust | Global Crop Diversity Trust |
| CRP | CGIAR Research Program |
| DOI | Digital Object Identifier |
| EA | Evaluability Assessment |
| EiB | Excellence in Breeding Platform |
| FAO | Food and Agriculture Organization of the United Nations |
| FFA | Financial Framework Agreement |
| FGD | Focus Group Discussions |
| GCO | Genebank Costs & Operations |
| GHU | Germplasm Health Unit |
| GLIS | Global Information System |
| GOAL | Genebank Operations and Advanced Learning |
| GRIN | Germplasm Resources Information Network |
| IAC | Independent Advisory Committee |
| IAES | Independent Advisory and Evaluation Service (CGIAR) |
| ICARDA | International Center for Agricultural Research in the Dry Areas |
| ICRAF | World Agroforestry (International Council for Research in Agroforestry) |
| ICRISAT | International Crops Research Institute for the Semi-Arid Tropics |
| IDO | Intermediate Development Outcome |
| IEA | Independent Evaluation Arrangement |
| IITA | International Institute for Tropical Agriculture |
| ILRI | International Livestock Research Institute |
| IPPC | International Plant Protection Convention |
| IR | Inception Report |
| IRRI | International Rice Research Institute |

| | |
|--------------|---|
| ISDC | Independent Science for Development Council |
| ITPGRFA | International Treaty on Plant Genetic Resources for Food and Agriculture |
| LPA | Long-Term Partnership Agreement |
| LTG | Long-Term Grant |
| KIIs | Key Informant Interviews |
| KPI | Key performance Indicator |
| MEL | Monitoring, Evaluation and Learning |
| MLS | Multilateral system of access and benefit-sharing |
| MoU | Memorandum of understanding |
| NAR(E)S | National Agricultural Research (and Extension) System |
| NGO | Non-governmental organization |
| NPGS | USDA National Plant Germplasm System |
| ORT | Online Reporting Tool |
| PGRFA | Plant Genetic Resources for Food and Agriculture |
| Plant Treaty | International Treaty for Plant Genetic Resources for Food and Agriculture |
| POWB | Plans of Work and Budget |
| Platform | Genebank Platform |
| QA | Quality Assurance |
| QMS | Quality Management System |
| QoS | Quality of science |
| SDG | Sustainable Development Goal |
| SIMEC | Strategic Impact, Monitoring and Evaluation Committee |
| SLO | System Level Outcome |
| SME | Subject Matter Expert |
| SMTA | Standard Material Transfer Agreement |
| SNA | Social Network Analysis |
| SOP | Standard Operating Procedures |
| ToC | Theory of Change |
| ToR | Terms of Reference |
| W1/2 | Windows 1 and 2 |

1 Background and Evaluation Context

1.1 Purpose of the Evaluation

The CGIAR [Independent Advisory and Evaluation Service](#) (IAES) [2022–24 multi-year workplan \(2021: Decision Reference SC/M14/DP4, confirmed\)](#) provides for the 2023 independent evaluation of the Genebank Platform.¹ The CGIAR IAES [Evaluation Function](#) will execute the evaluation consistent with its mandate per the IAES terms of reference (2018). An independent external evaluation in 2023 will contribute to Crop Trust and CGIAR institutional learning and provide evidence of the relevance, coherence, efficiency and effectiveness of the Genebank Platform (2017–21).

In 2016, the Genebank Platform proposal was developed by [Global Crop Diversity Trust](#) (Crop Trust) based on a call for proposals issued by the CGIAR Consortium Office. The Platform was to serve as a successor to the 2012–16 Genebanks CGIAR Research Program (CRP) that was also led by Crop Trust. Originally intended to run until 2022, the Platform concluded its work at the end of 2021 in line with the reduced timeframe of the other platforms and CRPs. It has been succeeded by the [Genebanks Initiative](#) that started in 2022 and is directly managed by CGIAR.

The purpose of the evaluation is to contribute to Crop Trust and CGIAR institutional learning and provide evidence of the efficiency and effectiveness of the Genebank Platform (2017–21). The exercise will also identify good practice and lessons on which the Genebanks Initiative and, potentially, CGIAR impact area platforms, can build. Further details on the evaluation purpose, scope and users are provided in [Section 2](#) of this report.

Taking place in the second half of 2023, the evaluation is timely in that lessons and findings will feed into the development of the second cycle for the CGIAR Portfolio and Initiative (2025–27).

1.2 Structure of the Inception Report

The inception report (IR) describes the conceptual framework for the conduct of the evaluation and for guiding the evaluation team in the process. The report has been structured according to the CGIAR IAES draft Guidelines for developing an IR.

The report presents a refined set of evaluation questions to be addressed according to context, expectations, and resources available, and information about methods and tools according to the evaluation's purpose and scope. It also provides an indication of the evaluation criteria-aligned with the evaluation terms of reference (ToR)-that will be used to answer the questions, as well as guide how the evaluation standards and principles defined in the CGIAR Evaluation Framework will be addressed. The report anticipates field visits (if envisaged) and the development of a communication plan.

The main purpose of the IR is to provide an appropriate and clear evaluation design, approach, and methodology, agreed with the evaluation manager and commissioner, building on the evaluation ToR. The report serves to inform the evaluation stakeholders about the development of the evaluation process and provides an opportunity to comment on the chosen methodology and design.

1.3 Overview of CGIAR Genebank Platform

1.3.1 Context

The [Genebank Platform](#) operated from 2017–21. The Genebank Platform succeeded the Genebank CRP (2012–16) that was independently [evaluated](#) in 2017. The Platform preceded the [CGIAR Genebank Initiative](#) (2022–present). The proposal for the Platform was developed by [Crop Trust](#) in 2016 in response to a CGIAR call for proposals.

The rationale for the intervention was that CGIAR genebanks safeguard some of the largest and most widely used collections of crop diversity in the world, which are critical to attaining global development

¹ The Genebank Platform is the last of the four platforms in the CGIAR portfolio to have transitioned in 2022. The other three were subject to evaluations: [Big Data in Agriculture](#) (2021), [Excellence in Breeding](#) (2022) and the [GENDER Platform](#) (ongoing).

goals to end hunger and improve food and nutrition security. The CGIAR Centers which have designated their collections under Article 15 of the [International Treaty on Plant Genetic Resources for Food and Agriculture](#) (ITPGRFA) are obliged to make collections and associated data under their management available under the [Multilateral System of Access and Benefit Sharing of the ITPGRFA](#). In 2016, the Centers were responsible for 94% of the reported distributions of germplasm under the Treaty. Nine of the 11 CGIAR genebanks were compliant with the principles and criteria of the [Fund Disbursement Strategy of Crop Trust](#), allowing them to receive long-term support from the endowment fund managed by Crop Trust.²

The Genebank Platform operated under the independent oversight of [Crop Trust](#), which is an international non-profit organization working to conserve crop diversity and protect global food and nutrition security. Crop Trust was established in October 2004 by [Food and Agriculture Organization of the United Nations](#) (FAO) and [Bioversity International](#) on behalf of CGIAR for the purpose of sustainably supporting a global system for the conservation and use of crop diversity through its [Crop Diversity Endowment Fund](#), which is dedicated to providing guaranteed, long-term financial support to key genebanks worldwide.

The Platform built on several decades of collaboration among the CGIAR genebanks through the System wide Program on Genetic Resources. The Platform was also built under the independent oversight of Crop Trust, the Genebanks CRP, from 2012-17. Table 1 below shows a continuity in objectives among the three phases: CRP, Platform and Initiative

Table 1. Mapping of Objectives and Budget of Genebank CRP, Platform and Initiative

| CRP | Platform | Initiative |
|---|---|--|
| Years | | |
| 2012-2016 | 2017-2021 | 2022-2024 |
| Budget | | |
| USD 117 million | USD 151.44 million | USD 78 million |
| <i>Total funding</i> | <i>Total funding</i> | <i>Total funding</i> |
| Hosting organization | | |
| Crop Trust ³ | Crop Trust | CGIAR |
| Objectives | | |
| Objective 2: Conserved crop and tree germplasm is clean, available and disseminated | Objective 1: Disease-free, viable, documented germplasm made available | WP2: Futureproofing collections and exchange |
| Objective 1: Crop and tree diversity in international collections under Article 15 (ITPGRFA) is Secured in Perpetuity | Objective 1.1: To sustain core genebank operations and ensure germplasm is secure and available | WP1: Diversity in perpetuity-CGIAR enabled to fulfil its legal agreements under Article 15 of the Plant Treaty |
| | Objective 1.2: To improve genebank operations and management | |
| Objective 3: Use of conserved crop and tree diversity is informed and facilitated | Objective 2: More effective access and use of germplasm enabled | WP3: Supporting breeding programs through increasing value and use of collections |
| | Objective 3: Policy engagement and compliance ensured | |

² Crop Trust's support to these nine Centers was included as part of the Platform budget and scope of work.

³ The Crop Trust was administered by Bioversity and FAO until it moved to Bonn in 2013. The CRP 2012-2016 was managed and led by Crop Trust. The funds passed through Bioversity.

| CRP | Platform | Initiative |
|---|--|---------------------------------------|
| | Objective 3.1: To ensure Centers comply with international policies and laws, increase their influence in policy-making processes and strengthen capacity of national programs | |
| Objective 4: Crop and tree diversity is conserved within a rationalized, cost-effective and globalized system | Objective 4: Crop diversity conserved in a rational and effective global system | WP 4: Strengthening the global system |

The Platform was designed to contribute to [Sustainable Development Goal \(SDG\) 2](#) and specifically to targets 2.5 and 2a (Box 1) as well as to the CGIAR intermediate development outcome: to ensure increased conservation and use of genetic resources.

Box 1. SDGs relevant to the Genebank Platform

SDG 2: End hunger, achieve food security and improve nutrition and promote sustainable agriculture.

Target 2.5: by 2020 maintain genetic diversity of seeds, cultivated plants, farmed and domesticated animals and their related wild species, including through soundly managed and diversified seed and plant banks at national, regional and international levels, and promote access to and fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge as internationally agreed.

Target 2.a: increase investment, including through enhanced international cooperation, in rural infrastructure, agricultural research and extension services, technology development, and plant and livestock gene banks in order to enhance agricultural productive capacity in developing countries, in particular in least developed countries.

The Platform was designed to address **three major challenges**:

- To increase genebanks' efficiency and effectiveness both individually and within the global system ('do more for less')
- To respond better to breeders' needs for genetic diversity and specific traits in aiming for increased genetic gain
- To comply with its legal obligations under international instruments and engage in shaping international genetic resources agreements.

Table 2 maps the specific outcomes of the Platform, to the three modules around which the Platform was structured:

Table 2 Contribution of the Platform Modules to Outcomes

| Specific Outcome | Module | | |
|---|--------------|-----|--------|
| | Conservation | Use | Policy |
| 1. Disease-free, viable, documented germplasm made available | X | | |
| 2. More effective access and use of germplasm enabled | | X | |
| 3. Supportive policy environment developed | | X | X |
| 4. Crop diversity conserved in a rational and effective global system | X | | X |

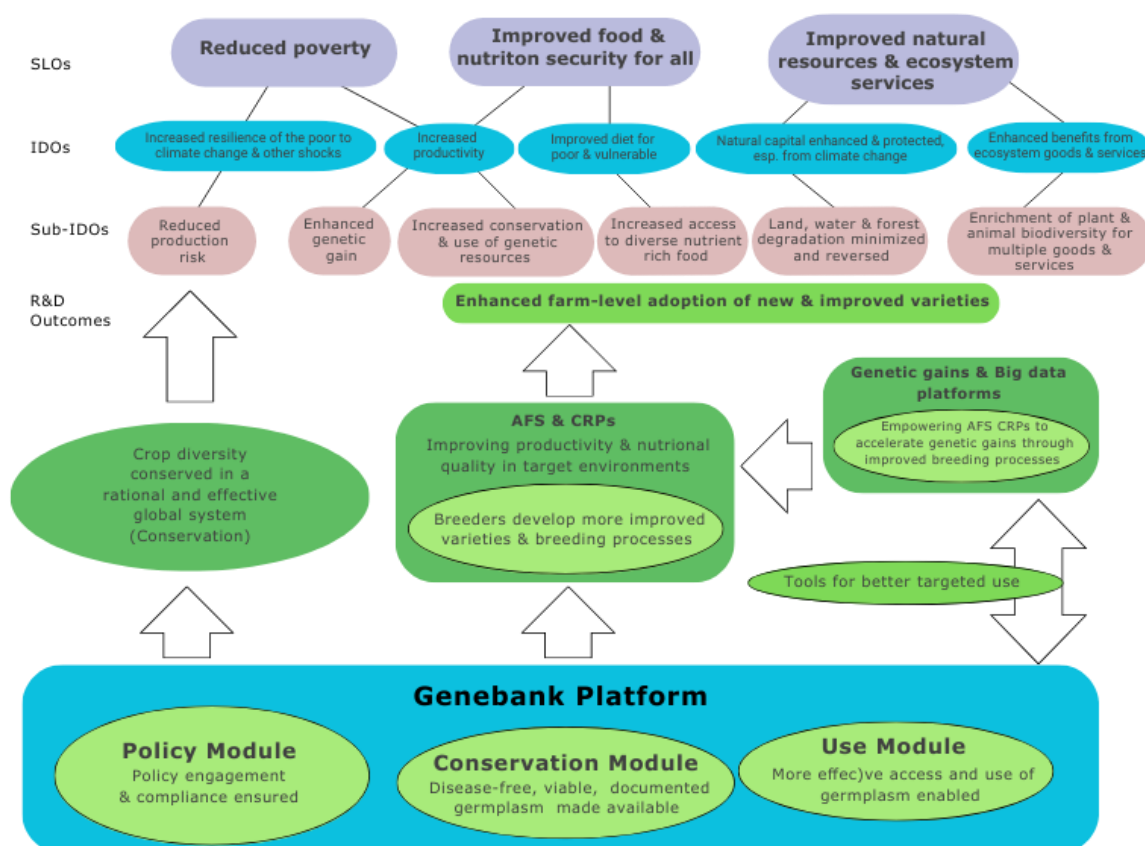
Source: Evaluation team based on Genebank Platform Proposal

1.3.2 Theory of Change and Purpose

The Platform modules and outcomes were intended to be synergistic, leading to increased conservation and use of genetic resources within a rational and effective global system.

The Platform Theory of Change (ToC) was developed in the context of the (now retired) [CGIAR Strategy and Results Framework 2016-2030](#). It was designed specifically to bring about increased conservation and use of genetic resources and increased productivity and to contribute to the related CGIAR Sub Intermediate Development Outcome (IDO). The proposal narrative further noted that genebanks contribute in multiple ways to CGIARs IDOs addressing: increased resilience of the poor to climate change and other shocks, improved diets for poor and vulnerable people, enhanced and protected natural capital, especially from climate change, and enhanced benefits from ecosystem goods and services.

Figure 1 - Genebanks Platform Theory of Change (Crop Trust, 2016)



Source: Genebank Platform Proposal, 2018

The original ToC for the Platform, as shown in Figure 1, was designed to show how the Genebank Platform services (provision of germplasm, data, knowledge, policy advice and phytosanitary services to the system) would feed into the generalized ToC of the CGIAR CRPs and Platforms through the sub-IDO and through its contribution to increased conservation and use of genetic resources. Figure 1 highlights how the Platform's impact was expected to be mediated through i) the Big Data⁴ and Excellence in Breeding (EiB)⁵ Platforms and through provision of tools for better use, and ii) through the Agri-Food systems (AFS) CRPs by way of improved crop varieties and breeding processes. Specifically, the Platform was to provide germplasm, data, knowledge, policy advice and phytosanitary services to the system, and feed into the generalized ToC of the AFS CRPs and Platforms. The left-hand side of the figure points to, but does not expressly identify, a contribution to sub-IDOs on reduced production risk and on increased genetic gain.

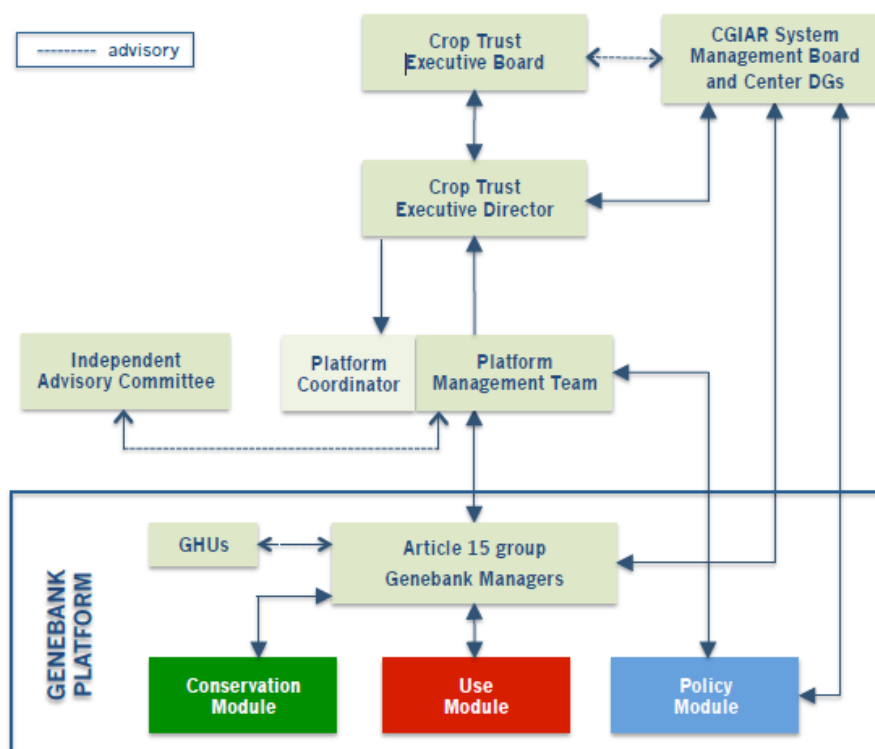
⁴ [Evaluation of CGIAR Platform for Big Data in Agriculture | IAES | CGIAR Independent Advisory and Evaluation Services](#)

⁵ [Evaluation of CGIAR Excellence in Breeding Platform - CGIAR](#)

1.3.3 Management and Governance

Governance arrangements for the Platform were described in the 2016 project proposal and further elaborated in a 2017 document entitled '[Governance and Management Arrangements](#)' which was published on the Platform website and is summarized in Figure 2.

Figure 2 - Governance Structure of the Genebank Platform, 2017



Source: Governance and Management Arrangements. September 2017

Accounting for more than 80% of the budget, the largest part of the Platform activities comprises the operations to maintain and make available seed, tissue culture and field materials from the in-trust collections under the management of CGIAR genebanks. These activities are implemented and managed by the individual CGIAR genebank managers under the leadership of the Center senior management. Collective activities or projects accounting for roughly 15% of the Platform budget are subject to management decisions at a Platform level.

Implementation of the Platform fell under the governance of the [Crop Trust executive Board](#), whose membership includes a CGIAR representative responsible for ensuring that the opinions of the CGIAR System Board and Office were represented. The Platform was coordinated by a Crop Trust staff member, Charlotte Lusty, reporting to the Crop Trust executive director. The coordinator oversaw the technical and financial management of the Platform as a whole and coordinated the activities of the conservation and use modules with the guidance of the management team. The policy module was coordinated by Bioversity International with IRRI.

Technical and financial management decisions related to the Platform were made by a management team, composed of seven CGIAR and Crop Trust members: the Platform coordinator, the Crop Trust science team leader, three elected representatives of the Article 15 (A15) Group of CGIAR Genebank managers, the policy module coordinator, and the coordinator of the Germplasm Health Units (GHUs).

As of 2017, the following internal (unpublished) agreements were in place or being negotiated between i) CGIAR and Crop Trust, and ii) Crop Trust and the CGIAR Centers hosting Genebanks:

1. **Memorandum of Understanding (MoU)** between the CGIAR System Organization and Crop Trust: Describes the shared responsibility of both parties in ensuring that the genebanks are appropriately financed and defines the specific responsibilities of Crop Trust, CGIAR System and individual Centers in managing risks relating to the genebanks (signed in September 2018).
2. **Financial Framework Agreement (FFA)**: A six-year agreement between CGIAR and Crop Trust that designates Crop Trust as the lead organization of the Genebank Platform and provides details of the responsibilities of this function (signed in October 2017).
3. **Project Partnership Agreements (PPA)**: Six-year agreements between Crop Trust and each of the 11 Centers under the framework of the FFA, through which the activities of the Genebank Platform are implemented (2017).
4. **Long-term Grant Agreements (LTG)** between Crop Trust and individual Centers: Provides the framework by which each of the nine genebanks (AfricaRice and International Council for Research in Agroforestry (ICRAF) did not receive LTGs in 2017) receive annual funding from the endowment managed by Crop Trust in perpetuity. These agreements are replaced by Long-term Partnership Agreements (LPA) once the genebank has reached performance targets (2017 where applicable).
5. **Long-term Partnership Agreements (LPA)** between Crop Trust and individual Centers: Take over from the LTGs once the genebank has reached a high level of operation-i.e., able to achieve and maintain the four performance targets of availability, safety duplication, documentation and Quality Management System (QMS). This agreement is based on a business plan and provides the framework by which a genebank will receive funding from the endowment. (As of July 2023, LPA agreements have been signed with three Centers–IRRI, International Center for Tropical Agriculture (CIAT) and IIAT).

The FFA and PPA specifically address the financial arrangements of the Platform which were originally designed to run for six years. The LTGs and LPAs are ongoing and renewable arrangements between Crop Trust and the genebanks. The Platform encompasses all funding provided through Crop Trust to individual genebanks from 2017-21.

The partnership between CGIAR and Crop Trust was strengthened through the signing of an MoU in 2018. This agreement outlined a framework for sharing fundraising strategies and information on potential fundraising opportunities, as well as presenting a harmonized funding request to shared donors. The parties agreed in 2022 to extend their collaboration through a new MoU.

1.3.4 Funding and Budget

The Platform budget is not included in the published project document which refers in general terms to the main budget items and notes that 83% of the budget was dedicated to the conservation module, 4% to Use, 2,5% to Policy and the remaining for management and other cross cutting costs (Table 3).

Table 3. Budget Items as described in the Platform Proposal

| Budget Item | Notes |
|----------------------------------|--|
| Conservation Module (83%) | <ul style="list-style-type: none"> Allocated to the core genebank requirements for operations and upgrading Expected to be increasingly covered by Crop Trust endowment Allocations based on a 2011 costing study and actual expenditure data |
| Use Module (4%) | <ul style="list-style-type: none"> Develop the Genesys database software, partner linkages and search tools, and support each genebank to obtain and manage available evaluation and genotyping datasets so that they are directly linked to genebank databases Phased approach in additional support to Centers |
| Policy Module (2,5%) | <ul style="list-style-type: none"> Management of the policy coordinating unit and its activities (scientific and administrative staff time and expert consultations) |
| Management Costs | <ul style="list-style-type: none"> Costs of Crop Trust staff to administer the agreements, contracts and disbursements relating to the Platform Indirect costs of Crop Trust |
| Other/Cross Cutting | The Platform will invest at least 14% of its budget specifically on capacity strengthening of the genebanks and GHUs. |

Source: Genebank Platform proposal

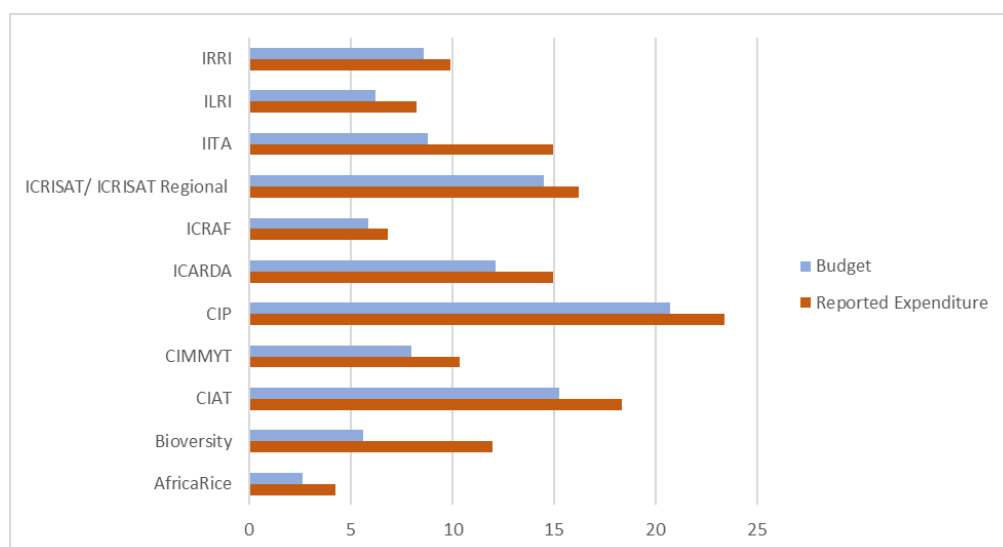
The detailed Platform budget⁶ indicates the total budget for 2017-21 was USD 148.85 million, of which USD 55.72 million was to be provided by Crop trust and USD 93.13 million by CGIAR.

Data on income and expenditure are available in the annual Plans of Work and Budget (POWBs) and annual reports for 2017-2021⁷. The data include a breakdown of expenditure by module (conservation, use and policy).

In its [summary report 2017-21](#) the Genebank Platform reported that it received USD 151.44 million in total funding for 2017-21. Window 1 & 2 funding⁸ from the CGIAR Trust Fund represented 67% of this total. The second largest contributor was the Crop Trust, which provided just under USD 38 million. Other reported donors include the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ, Germany) and the Bill & Melinda Gates Foundation.

Figure 3 Figure 3 provides a comparison of reported expenditure relative to the original project budget for i) the Centers hosting genebanks, ii) Genebank modules and support costs, and iii) source of income.

Figure 3 - Comparison of reported Expenditure to the Genebanks Platform Budget



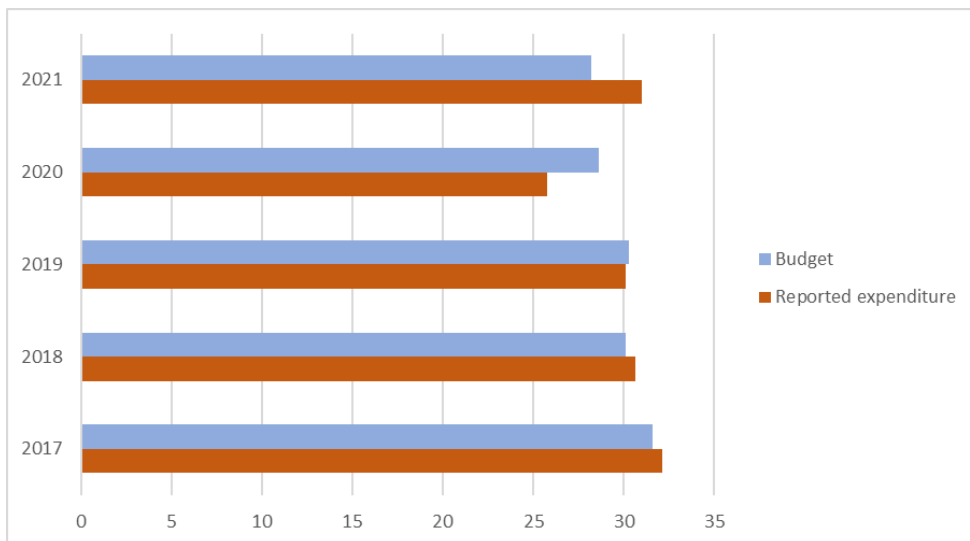
i) Budgeted and reported Expenditure by Center. The expenditure figures for four Centers-CIP, IITA, Bioversity and International Maize and Wheat Improvement Center (CIMMYT)-include funding at Center level (W3/own funds) (USD million).

⁶ Unpublished document made available to the evaluation team.

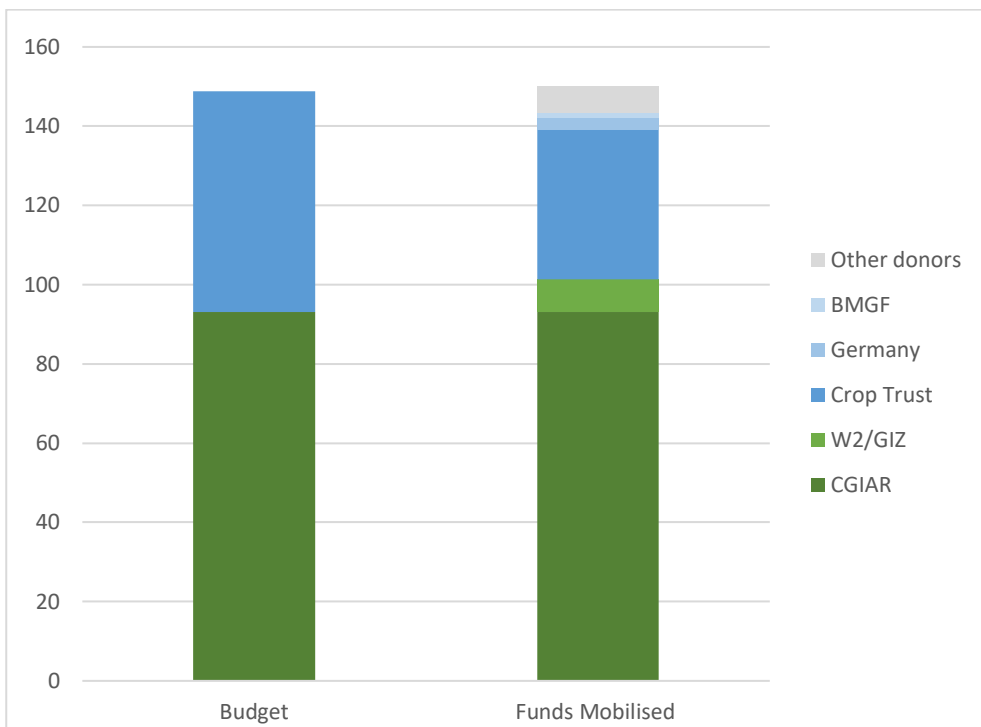
⁷ The annual report data for 2021 is inconsistent and requires verification.

⁸ Funders that contributed to the CGIAR Trust Fund designated their resources to one or more of three System funding Windows: i Window 1- Contributions are received from Funders without restriction. The System Council sets priorities and decides how Window 1 funds are distributed. i Window 2- Contributions are designated by Funders to specific CRPs or Platforms. i Window 3- Contributions are allocated to specific Centers by Funders. For most Window 3 contributions, side agreements between Centers and Funders are signed. Window 3 contributions can finance CRPs, Platforms and other research activities. Centers receive the funds net of the 2% Cost Sharing Percentage (CSP), which is transferred to Window 1 in support of System costs. Source; Adaptation from CGIAR FINANCIAL REPORT FOR YEAR 2018 <https://cgispace.cgiar.org/bitstream/handle/10568/105573/CGIAR-Financial-Report-2018.pdf?sequence=1&isAllowed=y>

ii) Budgeted and reported Expenditure by Year (USD million)



iii) Sources of Funding in the Platform Budget compared to the Final Report (USD million)



Source: Developed by Evaluation Team based on i) Platform Budget and ii) Genebank Platform Summary Report

Crop Trust funding was used to support module 1 activities (conservation) with the allocation comprising confirmed funding from Crop Trust and an amount to be raised each year from external sources. The Crop Trust contribution thus included funds from the EU and Finland. POWBs for [2019](#), [2020](#) and [2021](#) indicate that the amount raised by Crop Trust in the previous year fell short of that anticipated. Overall expenditure data for module 1 suggests the shortfall was largely made up from other sources- over the five-year period of the Platform.

1.4 Performance Measures

The [2016 Platform proposal](#) identifies how each of the three modules aligns to the Platform outcomes and sets out objectives and related activities for each of the three modules. Outputs, indicators and targets are provided for each activity. The proposal:

- Includes four key performance indicators (KPIs) with largely quantitative targets for the conservation module concerning the availability, security, documentation and quality management of the collections. All Centers were expected to meet the targets by the end of 2022.⁹ The conservation module KPIs correspond to a set of measures that were agreed in 2013 to assess centers' progress towards targets for genebanks transition from the LTG to LPA (Section 1.4). These are applied on a per crop/per collection rather than per Center/genebank basis.
- States that GHUs will work towards an externally validated QMS adopting a similar approach to the genebanks.
- The published [genebank annual reports](#) for 2017-21 include¹⁰: i) progress towards the conservation module KPIs, for which time series data is available, and ii) reporting against milestones for each of the modules (six milestones for conservation and three each for policy and use). The milestones are not specified in the proposal and based on the reporting template, represent only a subset of activities delivered in each year.

1.5 Stakeholder Mapping

Consistent with the approved TOR, there are five key stakeholder groups for this evaluation. Annex 3 presents a stakeholder mapping, providing a breakdown of stakeholder categories in the following five groups together with a preliminary understanding of their role and interest in the Genebank Platform.

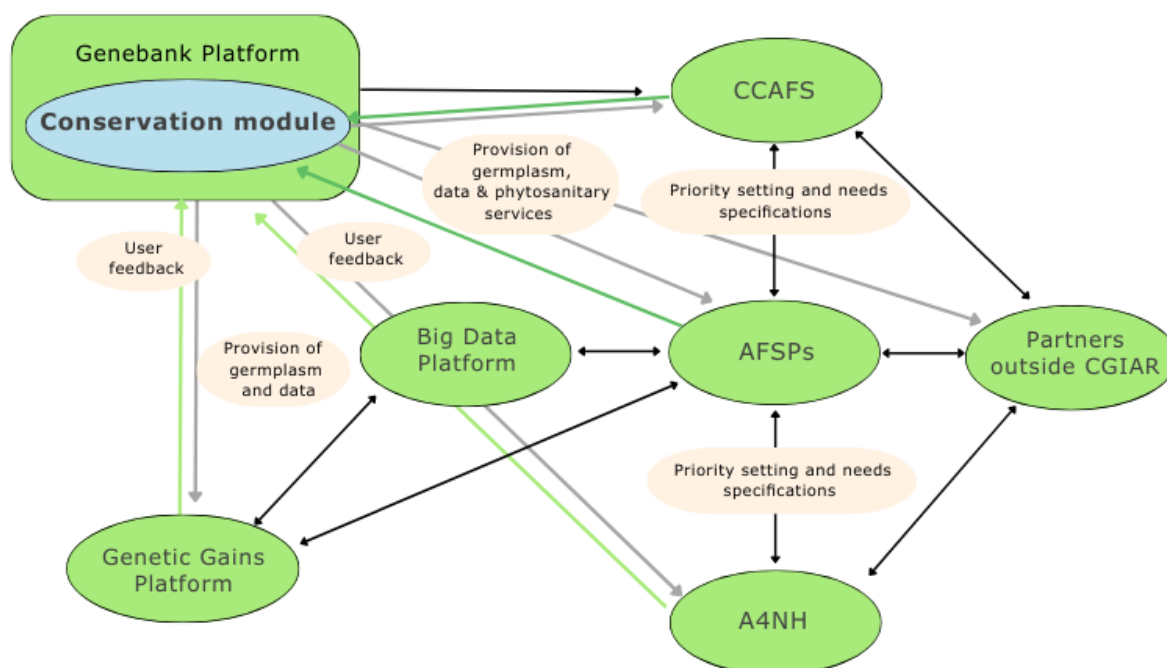
1. Leadership, management and governance stakeholders which includes Crop Trust, the Platform management team, [CGIAR System Council](#) and funders, [CGIAR System Board](#), and [Bioversity](#) and [IRRI](#) as hosts of the policy component.
2. Internal Partners including CGIAR Centers as hosts of genebanks and GHUs and internal users (notably CG breeders) working under the CRPs and other Platforms.
3. Funders, including those supporting specified (project-identified) activities at Platform and individual genebank level.
4. External partners including policy actors such as the Secretariats of the FAO-hosted [Plant Treaty \(ITPGRFA\)](#) and the [Convention on Biological Diversity](#) (Nagoya Protocol).
5. External partners including external users such as National Agricultural Research Systems (NARS), international organizations, academia, research institutes, private companies, and farmers.

The Platform project document identifies how each of its modules is situated in the CGIAR system, describing the linkages within the CGIAR ecosystems. Common elements across the modules include the Big Data Platform, Genetic Gains Platform (later know as EiB), agri-food systems (AFS) CRPs and Climate Change, Agriculture and Food Security (CCAFS) and A4NH (Agriculture for Nutrition and Health) CRPs. An illustration of these linkages for the conservation module is shown in **Figure 4**. Internal and external linkages will be further explored under this evaluation using a social network analysis.

⁹ The Platform was designed to operate for up to six years, 2017 through 2022 (TBC).

¹⁰ Analysis of trends will be conducted as part of data analysis.

Figure 4 - Linkages of the Conservation Module of Genebank Platform to the CGIAR Portfolio



Source: Genebank Platform Proposal

The Platform generated eight communities of practice (Box 1), including larger communities associated with system-wide Platform initiatives, such as the QMS, and smaller communities associated with more limited tasks, such as impact fellows. The evaluation will explore the composition of CoPs as well as the level and frequency of participation. The CoPs will be reached through interviews (as key informant interviews and site visits) and through an online questionnaire survey.

Box 1. Genebank Platform Communities of Practice

1. Data management
2. Clonal crops
3. Seed quality management
4. Quality management system
5. Germplasm health units
6. Impact fellows
7. Genetic resources policy
8. Gap analysis

2 Evaluation Objectives and Scope

The purpose of the 2023 evaluation of the Genebank Platform is to support the institutional learning of Crop Trust and CGIAR and provide evidence regarding the efficiency and effectiveness of the [Genebank Platform](#) (from 2017-21). The evaluation exercise aims to also identify good practices and lessons that can contribute to the Genebanks Initiative and, potentially, other CGIAR impact-area platforms with which CGIAR can build upon.

The users of the evaluation are i) the [CGIAR System Council](#) (evaluation commissioner), ii) the [Crop Trust](#), as the lead of the Genebank Platform iii) CGIAR users, including the Genetic Innovation Science Group and the leadership of the Genebanks Initiative; CGIAR Centers that hold collections in genebanks; and past and present CGIAR platform managers, iv) external partners such as FAO, ITPGRFA, policymakers, national governments and NARS researchers, the breeding community, v) requestors of

CGIAR genebank accessions-NARS, industry, private sector, other CGIAR stakeholders, farmers, and others, and vi) entities outside the CGIAR system which hold plant genetic resources (e.g., national genetic resources, genebanks and universities).

The evaluation process, led by [IAES](#), began its scoping phase in January 2023. An evaluability assessment was conducted by the Platform coordinator as part of the scoping process.

The focus of the evaluation is the Genebank Platform, as described in the 2016 proposal and its implementation from 2017-21. It encompasses all activities funded by the Platform, including those delivered and coordinated by Crop Trust (related to modules 1 and 2) and by Bioversity International with IRRI (related to module 3). This includes core conservation work carried out by CGIAR genebanks and activities conducted by GHUs. The evaluation also considers cross cutting components such as networks, capacity building, and partnerships. Notably, there is no mention of gender in the project document.

The evaluation will take into account the transition from the Genebank Platform, which was overseen and managed by Crop Trust, to the Genebanks Initiative directly managed by CGIAR. This perspective will frame the recommendations with a forward-looking approach. However, the evaluation will not extensively examine the delivery by the Initiative, which was launched in 2022 and had a dedicated coordinator in place only from the beginning of 2023. The evaluation will also consider the transition from the earlier genebanks CRP based on the management response to the 2017 CRP Evaluation.

3 Evaluation Criteria and Key Questions

The evaluation criteria, based on the [CGIAR Evaluation Policy](#) are i) relevance, ii) effectiveness, iii) efficiency, iv) coherence, and v) sustainability and learning for impact. Key questions related to each of these criteria, based on the evaluation ToR, are set out in [Table 4](#).

Table 4. Evaluation Criteria and Key Questions

| CGIAR Evaluation Criteria | Key Evaluation Questions |
|---|---|
| A. Relevance Relevance is concerned with the extent to which the Platform and its design respond to the needs, policies, and priorities of users/clients and global, regional, and country partners/institutions, and will continue to do so if circumstances change. | 1) How relevant were the mandates of the Genebank Platform and ways to achieve it? |
| B. Effectiveness Effectiveness is concerned with the extent to which the intervention achieved, and/or is expected to achieve, its objectives, and its results, including any differential results across subgroups of users/clients. | 2) To what extent did the Genebank Platform achieve progress towards intended outcomes? |
| C. Efficiency Efficiency and cost-effectiveness are concerned with the extent to which the intervention delivers, or is likely to deliver, results in an economical and timely way—i.e., the overall use of resources. | 3) How did allocation of resources (funds, people, time, expertise, etc.) support the achievement of the Genebank Platform’s outputs and outcomes? 4) What strategies, internal or external mechanisms and factors contributed to, or inhibited, timely and cost-effective achievement of outputs and outcomes, intended and unintended? |
| D. Coherence and added-value Coherence and added-value are concerned with compatibility of the intervention with other interventions in a country or a sector or within CGIAR, i.e., its overall fit. Internal coherence will consider the synergies and interlinkages between the intervention and other interventions carried out within CGIAR. | 5) How did the research, evidence, capacity agenda of the Platform complement and/or strengthen related genebank-focused work in CGIAR, towards the Genebank Initiative? 6) How were Genebank Platform operations harmonized, aligned, and coordinated with non-CGIAR genebanks? |

| CGIAR Evaluation Criteria | Key Evaluation Questions |
|--|---|
| E. Sustainability and learning for impact Sustainability and learning for impact are concerned with the extent to which the net benefits of the intervention continue or are likely to continue. | 7) What learning mechanisms have been built into the Genebank Platform design and implementation to facilitate the potential sustainability of Platform results? 8) In what ways did the Platform contribute to achieving global development objectives, notably the SDGs, along its impact pathway? |

The evaluation criterion on impact is largely addressed from the perspective of sustainability and learning in view of i) the truncated nature of the ToC that refers to uptake through the CGIAR research programs and platforms and to the global target to conserve crop diversity (as an end in itself) through a rational and effective global system, and ii) the recognized difficulties in measuring the impact of genebanks. The evaluation will nevertheless consider the work of the Platform's impact fellows' program as a basis for learning from impact.

The Genebank Platform was not intended to be a research program but did produce some research outputs through its communities of practice, notably related to policy, impact and seed quality management. The CGIAR quality of science (QoS) criterion will be considered through question 5 under criterion D and identified QoS sub-questions in the evaluation matrix, aligned to the evaluation guidelines [Applying the CGIAR Quality of Research for Development Framework to Process and Performance Evaluations | IAES | CGIAR Independent Advisory and Evaluation Services](#).

The evaluation questions are further developed in the evaluation matrix (Annex 2).

4 Evaluation Approach and Methodology

The evaluation matrix in Annex 2 constitutes the principal design framework for the evaluation, laying out how the evaluation questions will be addressed through a series of sub-questions, presenting the indicators/evidence or approaches to the sub-questions, and identifying data collection methods. The evaluation team will use an expanded matrix to further specify interview guides and to develop the questionnaire survey(s) as well as to follow up lines of enquiry specific to each of the Platform modules.

4.1 Data Collection

The evaluation team will collect and analyze data and evidence to meet the evaluation objectives. Data collection will follow mixed methods, leveraging both qualitative and quantitative data from primary and secondary sources to understand operating environments and track contextual and programmatic assumptions in view of presenting credible evidence to answer the evaluation questions. At a minimum, the evaluation will use the following data collection methods:

Primary sources:

- a. **Semi-structured key informant interviews (KIIs) and focus group discussions (FGDs)** with different categories of stakeholders identified in the stakeholder mapping. Indicative interview guides for internal and external stakeholders are provided in Annex 3. The guides will be adjusted for different interviewees drawing on an expanded evaluation matrix (Section 5). Written interviews may be considered for groups of stakeholders, including funders and other international genebanks where it would be useful to obtain open-ended answers to a common set of questions.
- b. **Online questionnaire survey(s)** of targeted stakeholders, including questions related to the activities and performance of the Platform module and questions regarding the transition from Platform to Initiative. An online survey will also allow comparability between Platform evaluations by IAES. The survey is designed to obtain comparable data from a large group of stakeholders with similar or parallel concerns including notably the genebank communities of practice. Separate questionnaire surveys may be used for internal and external stakeholders reflecting respectively i) the direct beneficiaries of Platform services, and ii) beneficiaries of genebank operations. The survey will be administered using an off-the shelf application such as Survey Monkey and applying standard protocols. Likert type scales will be used where appropriate to provide semi quantitative responses. The survey will be administered in English and in Spanish.

Responses will be actively followed up with reminders sent over up to one month by the team, and where possible through COP leaders. In the event of low response rates (which may occur in part due to the holiday period) the response deadline may be extended.

- c. **Visits** to (i) Crop Trust Headquarters (design/inception, and validation), and (ii) to two selected genebanks presenting different characteristics that capture the diversity of genebank settings (see sampling techniques below). The visits will allow the evaluation team to meet a broad cross section of staff in the genebanks and host centers, to learn firsthand about the implementation and value of cross cutting and more targeted Platform support to genebanks and GHUs, to understand the host center role and concerns as signatory as Article 15 custodians, to explore the relationship between genebanks and internal stakeholders, and to meet external stakeholders located in the same country as the genebank facility including representatives of NARS and other users groups.

Secondary Sources:

- a. **Systematic document and data review** including
 - [Genebank reviews](#) carried out by Genebank Platform management (2017-21). The reviews provide a thorough assessment of the technical and managerial capacities of each of the CGIAR genebanks. The information will be valuable for several of the evaluation questions but particularly efficiency and effectiveness of the genebanks and the relevance of support measures to raise standards.
 - Monitoring and performance data from Genebanks performance indicators in the genebank annual reports, Genebank Online Reporting Tool, the CGIAR Results Dashboard and any other monitoring data. The related analysis: will consider trends, where gaps persisted, and how evidence was used.
 - Genebank Platform annual reports and associated documentation produced by activity leaders.
 - User surveys conducted at CGIAR Center level.
 - Reports of the Management Team meetings.
- b. **Literature review of relevant scientific and policy publications** delivered as part of the Platform including impact studies.

The sampling approach for primary sources is described in Box 2.

Box 2. Sampling techniques and sample frame

There is potential to use sampling in i) the choice of interviewees, ii) targeting of the evaluation questionnaire, iii) the choice of genebanks to be visited, and iv) selection of genebank users.

- i. Interviewees are identified as key informants and while some may be selected as representatives of specific groups, the team will aim for a comprehensive coverage of other groups (notably the A15 genebank managers) and of targeted individuals. The team may also follow up with individuals identified during the evaluation. There will be a *de facto* sampling of interviewees at the genebank level based on the choice of Centers to be visited.
- ii. There is no deliberate sampling strategy for the evaluation questionnaire survey that has been designed to collect data from as wide a set of informants as possible, notably the architects and the direct beneficiaries of Platform activities who are represented by the communities of practice. These include staff in the individual genebanks and a more limited set of external participants. The deliberate targeting of engaged stakeholders presents a certain bias. Respondents may self-select based on their level of interest in the Platform (which may include positive or negative interests).
- iii. The choice of evaluation field visits will be based on purposeful sampling across the range of genebank settings and operations. The team plans to visit two genebanks Centers that will be selected to capture experience in i) different geographic settings, ii) with different types of collections (seed/clonal), and iii) regarding different levels of progress towards eligibility for Crop Trust funding (Table 5). The choice will be refined based on access to genebank partners and stakeholders including CGIAR breeding facilities (as users), GHUs, and NARS and/or national genebanks, as well as roles played in the wider platform delivery. The aim is to choose a combination of Centers that will contribute data to produce a rich and balanced report.

- iv. The evaluation will explore potential for a user experience survey where a representative set of participants would be identified using i) a geographic/collection-based approach, and ii) by type (e.g., CGIAR Center, Research Institute, NARS, private sector). The team has not yet determined whether the survey can be administered directly or whether it will need to be distributed through the individual genebanks in view of possible confidentiality issues.

Evaluation findings will be based on evidence from multiple data sources (types and informants) that will be triangulated to ensure validity, transparency and independence of judgment and to minimize bias. Where possible, data used to illustrate findings will be presented to show the situation at the beginning and end of the Platform intervention, or over the timeframe of the intervention.

4.2 Additional Analytical Approaches

The evaluation will include a minimum of two deep dive studies and one exploratory analysis, that will test and apply a range of analytical tools within the limits of available data.

1) GHUs Deep Dive

The first of the deep dives will look at the support to the GHUs that were supported by the Platform between 2017-21 but no longer receive direct support through the Genebanks Initiative. The institutional arrangements for GHUs vary, with some closely associated with genebanks or their host centers and others operating independently. Building on ISDC's comparative advantage analysis (CAA)¹¹, this study will include CAA to help define CGIAR's position in germplasm conservation and distribution compared to other similar organizations.

¹¹ [Comparative Advantage Analysis. Illustrative Example. Genebank Platform \(Alwang, 2022\)](#)

Table 5. Characteristics of Genebanks being considered for selection of Visits

| Genebank | Location (Country)/Continent | Crops (Vegetative vs Seed) | Accessions (2021) | Visited for 2017 CRP Eval | Crop Trust LPA ¹² ? | Budget (USD) ¹³ | Genebank Reports (YR) | Had a GHU before the Platform | Breeding Role in Host Center | Cryobanks/ Research | Other Factors |
|------------------------------------|------------------------------|--|-------------------|---------------------------|--------------------------------|----------------------------|-----------------------|-------------------------------|------------------------------|-------------------------|-------------------------------|
| 1. ICARDA | Morocco | Barley, wheat, chickpeas, lentils | 151,788 | Yes | No | \$14,96M | 2019 | Yes | Yes | No | |
| | Lebanon ¹⁴ | Faba bean, grasspea, wild relatives of cereals and legumes | | | | | | | | | |
| 2. IRRI | Philippines | Rice | 132,313 | No | From 2018 for rice | \$9,91M | 2019 | Yes | Yes | No | Supported the policy module |
| 3. ICRISAT¹⁵ | India | Sorghum, millet, chickpea, pigeon pea and groundnut | 128,645 | No | No | \$16,23M | 2020 | Yes | Yes | No | |
| 4. CIMMYT | Mexico | Maize | 28,694 | Yes | No | \$10,37M | 2019 | Yes Yes | Yes | No | |
| | Mexico | Wheat | 113,418 | No | No | | | | Yes | No | |
| 5. Bioversity International | Belgium | Banana, plantain | 1,682 | No | No | \$11,96M | 2020 | Yes | Yes | Banana and plantain | Coordinated the policy module |
| | Colombia | Beans, cassava, tropical forages | 66,599 | Yes | From 2023 for beans & forages | \$18,36M | 2019 | Yes | Yes | Cassava | |
| 6. CIAT | | | | | | | | | | | |
| 7. IITA | Nigeria | Maize, banana, cassava, yam, legumes, rice | 34,864 | No | From 2023 for rice | \$14,95M | 2019 | Yes | Yes | Cassava and yam | |
| 8. AfricaRice | Cote d'Ivoire | Rice | 19,699 | No | No CT funding | \$4,25M | 2020 | No | Yes | No | |
| 9. ILRI | Ethiopia | Tropical forages | 18,662 | No | No | \$8,21M | N/A (last in 2012) | No | Yes | No | |
| 10. CIP | Peru | Potato, Sweet Potato, Andean Roots and Tubers | 17,314 | Yes | No | \$23,41M | 2020 | Yes | Yes | Potato and sweet potato | |
| 11. ICRAF | Kenya | Fruit and multipurpose trees | 14,990 | No | No CT funding | \$6,84M | 2020 | No | Yes | No | |

¹² Long-Term Partnership Agreement between the Crop Trust and Individual Center.

¹³ Genebank Budget reported in the Platform Summary Report (2017-21).

¹⁴ ICARDA's Lebanese genebank specializes in conserving cultivated plant species.

The GHUs play a critical role in ensuring CGIAR genebank operations, facilitating around 1,600 germplasm exchanges with 126 countries in 2021, and testing 213,164 samples for more than 100 different seed-borne pests and pathogens. Approximately 8% of imported or exported samples were removed in 2021 because of infection with pests or diseases. The Platform supported GHUs' continued development of quality management systems and in documenting Standard Operating Procedures (SOPs). The study will be undertaken by a Subject Matter Expert (SME) member of the evaluation team, with support from the co-leader overseeing modules 1 & 2. Data will be collected through review of documents, KIIs, site visits and the questionnaire survey.

2) Added Value of the Platform

The second deep dive will consider questions raised by the Strategic Impact, Monitoring and Evaluation Committee (SIMEC) in their review of the evaluation ToR- the value-for-money of the Platform. In other words, and notwithstanding the legal obligation of individual Centers to manage and administer their *ex situ* collections in accordance with internationally accepted standards, the study will explore the question as to whether CGIAR investment has been justified.

The study will explore the work conducted under the Platform's [impact fellowship program](#) as well as data from interviews and input from the online questionnaire survey to explore the Platform's impact pathways, to extend its ToC, and to identify related assumptions and drivers. The study will complement consideration under the efficiency criterion of the added value of measures introduced by the CRP and the Platform across the three project modules. One aspect of interest is the further progression of the impact fellows themselves—who were selected as young researchers.

3) Social Network Analysis

A social network analysis (SNA) will be conducted to identify relations among Platform partners and/or users. SNA as a method is helpful in studying relationships between objects and events in a social structure. It is used to identify the key players in a social structure and their relationships with each other and looks at how entities interact with each other as individuals and/or groups. It enables one to understand networks of relationships between entities and analyze the different relational paths they take. SNA is an effective way to study various communication networks between entities and can be used to analyze and improve communication flow in an organization, or with their networks of partners and/or customers. It is helpful in the visualization of data to uncover patterns in relationships and interactions.

In this evaluation, SNA will complement the data analysis to provide useful information towards answering questions under the relevance and effectiveness (Annex 2) of the Genebank Platform regarding how well the Platform caters to the needs of the users. SNA will help:

- **Identify the key/central nodes (partners in the current study)** in the network that can be key to driving organizational goals effectively and efficiently
- **Improve communication flows** with and within CGIAR partners
- Identify **relationships and strengths (or weaknesses) of these relationships** among partners which can help save time and effort in driving initiatives and identifying optimal paths
- Understand the **information flow** within the network and try to build preferential flows.

The data for conducting SNA will be collected alongside the data collected for other modules. The questions to chalk the patterns of interactions and relationships will be incorporated into the main survey tool (online questionnaire/interview schedule) used for the evaluation and will be analyzed using Gephi or any other online SNA tool like Pajek or UCINET.

4) Evaluability Assessment of the Genebank Initiative

The evaluation will expand the application of the evaluability assessment (EA) guidelines¹⁶ towards the [Genebanks Initiative](#). Preliminary review was conducted during the evaluation scoping phase by the Genebanks Initiative coordinator (previously Platform Coordinator) and by the MEL coordinator for Genetic Innovation action area. A second phase, follow-up analysis, will be conducted at the time of

¹⁶ Independent Advisory and Evaluation Service (IAES). (2022). CGIAR Evaluation Guidelines. Conducting and Using Evaluability Assessments within CGIAR. Rome: Independent Advisory and Evaluation Service.
<https://iaes.cgiar.org/evaluation/publications/conducting-and-using-evaluability-assessments-cgiar-cgiar-evaluation>

formulating conclusions and developing recommendations, to strengthen and ground recommendations, by setting up a baseline against the core EA domains.

4.3 Justification of deviation from ToRs

There are two main deviations from the ToR in the evaluation: The choice of deep dives and methods.

Deep Dives: The evaluation team expanded the selection of deep dives during the inception phase, building upon those identified in the scoping phase and in consultation with the evaluand. The chosen deep dives, as outlined in Section 4.1.3, include one study specified in the ToR (GHUs) and another that takes a cross-cutting perspective to address questions regarding the cost benefit or cost-utility of investing in genebanks, spanning the CRP, Platform and the Initiative.

Long-term financing and coverage of assets: The evaluation acknowledges that the question of long-term financing, which aligns with Crop Trust's purpose and mission, falls beyond the scope of the evaluation. However, financing during the evaluation period will be addressed under the efficiency criterion, considering factors such as i) the mobilization of the Platform budget by CGIAR, Crop Trust, and other donors; ii) timing and certainty of funding to individual genebanks; iii) constraints to fundraising; and iv) the funding situation during the follow-on Genebanks Initiative. The evaluation will take into account the work of the CGIAR-Crop Trust System Level Review of Genebank Costs and Operations (GCO) in 2020, as well as ongoing discussions related to ring-fencing and a planned study on costing and resources.

Safety duplication and back up of seeds and cryopreserved materials: The Platform's efforts in this area, along with its response to emerging issues including insecurity and the COVID-19 pandemic, will be considered as part of the conservation module. The module will also incorporate the consolidation of ICARDA's collections, which began during the CPR and continued during the platform phase.

The evaluation matrix has been elaborated based on the set of sub-questions evaluated in the evaluation ToR that were reviewed by participants during the inception meeting with Crop Trust. Sub-questions have been further developed by the team including the subject matter experts. There are no other major deviations from the evaluation ToR.

In terms of **methods**, the evaluation team does not anticipate using cost utility or multi-criteria analysis at this stage due to insufficient data.

4.4 Main Limitations or Constraints of the Evaluation

The evaluation faces several constraints, including:

- 1) **Timing:** the evaluation is being conducted 18 months after the completion of the Platform. However, this constraint is mitigated by i) CGIAR hiring the former Platform coordinator as the Initiative lead in September 2022, and ii) the evaluand's ongoing mandate and role related to the Article 15 genebanks, along with their continued employment of former Platform staff and collaborators.
- 2) **Truncated ToC:** the Platform's ToC is primarily situated within CGIAR's sphere of control and the Platform's coordination zone of influence. While appropriate for the nature of the Platform, this limits the extent to which (i) the Platform and genebanks can be held accountable for impact on the ground, and (ii) the Platform's contribution to CGIAR's strategic outcomes, can be assessed.
- 3) **Limited reach:** the evaluation includes visits to only two genebanks, in contrast to earlier CRP evaluation which visited five genebanks. However, this limitation has been offset by the deliberate sampling strategy to capture a wide range of genebank characteristics.
- 4) **Influence of developments:** data collected through the online questionnaire survey, specifically related to participation and satisfaction with platform activities and services, may be influenced by developments that have occurred since the closure of the Platform. This is not considered a major issue.

These constraints should be considered when interpreting the evaluation findings and their implications.

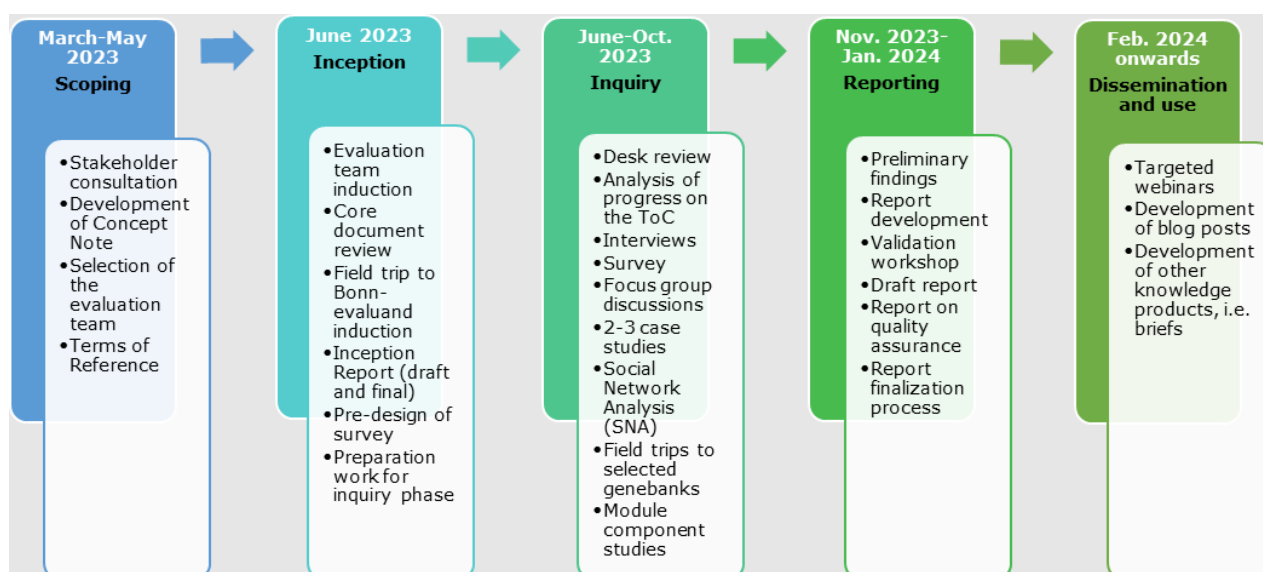
5 Evaluation Workplan and Management

5.1 Evaluation Workplan

Figure 5 provides an indicative timeline for the evaluation based on the evaluation ToR. Further details on the workplan are provided in Annex 1.

The project scoping and development of the evaluation ToR was completed in mid-June 2023. The inception phase started with recruitment of the evaluation co-leaders at the beginning of June 2023 and recruitment of SMEs team in mid-June 2023. An inception phase visit to Crop Trust's headquarters in Bonn in the third week of June provided an opportunity to meet with Crop Trust staff engaged with the Platform as well as the former Platform coordinator, CGIAR center staff involved in genebank management, and one external funder (Annex 6).

Figure 5 - Indicative Genebank Platform Evaluation Timeline, 2023-2024



5.2 Evaluation Management and Roles

The evaluation process involves various team members and stakeholders, as described below:

Evaluation commissioner: the CGIAR System Council, through IAES multi-year workplan for 2022–2024, serve as the evaluation commissioner.

Evaluation team: the team consists of two co-leaders, two SMEs with expertise related to the Platform modules, one SME with expertise in social network analysis, and one evaluation analyst (See table 6 below and Annex 8 for bios and Declarations of Conflict of Interest).

The evaluation team **co-leaders** will be the lead authors of the evaluation report and are responsible for coordinating the inputs of the team members based on the evaluation workplan. They will share the draft report with the evaluation manager and coordinate the response to the comments received from stakeholders with team members. SMEs will report through the team co-leaders to the IAES Secretariat.

Subject matter experts will report to the IAES Secretariat through the team co-leaders. The terms of reference for the SMEs direct them to focus on the specific areas of work within CGIAR for which they have expertise. Each SME has been assigned to lead the development of a designated module component study report and/or an analytical study or deep dive. The SMEs will address the questions outlined in the evaluation matrix, as they pertain to the designated modules under their responsibility, while also integrating cross-cutting themes. They will coordinate and collaborate with other SMEs as necessary,

particularly at the interface of the Platform use and conservation modules, and in organizing interviews, with the support of the evaluation analyst.

The module reports will be independent documents, with executive summaries annexed to the final evaluation report. Excerpts from the reports will be included in the evaluation report, corresponding to the relevant evaluation criteria. The team co-leaders will ensure that there is consistency in the approaches used by the experts and that they align with the evaluation TORs.

Table 6. Evaluation Team and Reviewers: Composition and Skills¹⁷

| Skills/Team & Reviewer | Evaluation Team | | | | | | Advisor/Peer Reviewers | | |
|---|-----------------|--|----------------|----------------|--|--------------|-------------------------|-----------------|----------------------------|
| | Sarah Humphrey | David Coombs | Hugh Pritchard | Jean-Luis Pham | Stefania Sellitti | Shweta Anand | Marise Borja | Alferdo Alvarez | Evaluation Reference Group |
| Advanced degree | PhD, MBA | PhD | PhD | PhD | MSc | PhD | PhD | PhD | |
| Genebanks management/ Breeding | | X | | | | | X | X | |
| Knowledge of international genetic resources agreements | | | X | X | | | X | x | |
| Cost effectiveness analysis | X | | | | | | | | X |
| Experience with process/ performance evaluations | X | X | | | X | | X | | X |
| Experience with CGIAR evaluations | WLE CRP Review | Reviews: RTB CRP, EiB platform | | | Big Data Platform evaluation | | Genebank CRP evaluation | | x |
| Knowledge ICT platforms | | | | | X | | | | X |
| Location | Switzerland | Canada | France | United Kingdom | Portugal | India | Spain | Brazil | n/a |

The **evaluation manager** within the IAES is responsible for ensuring that the evaluation process and outputs adhere to the CGIAR Evaluation Framework and Policy. Her role includes providing quality assurance for the evaluation process and report, ensuring clarity and logical presentation of evaluation results based on evidence. While she does not contribute to the content of the report, she coordinates the evaluation process within the CGIAR system and presents and defends it to both internal and external audiences beyond the reviews related to quality assurance.

Key stakeholders, including Crop Trust, selected CGIAR staff, and external informants, have been consulted during the preparation of the IR. Crop Trust and the former Platform coordinator will be invited

¹⁷ See Annex 8 for Bios of Evaluation Team members and Declarations of Conflict of Interest

to provide feedback on the draft report. The management and focal persons at Crop Trust and within CGIAR management, Centers, and genebanks are expected to respond to the evaluation team's needs for information throughout the evaluation, including providing documentation, data, access to partners and staff for engagement with the evaluators, and information on partners and stakeholders. Crop Trust and the former Platform coordinator will be invited to provide factual feedback on the draft evaluation report. A comprehensive list of stakeholders consulted during the scoping and inception phases is provided in Annex 6 of the evaluation report.

The evaluation will consult a wide range of other stakeholders as key informants through interviews, possible written interviews, the Platform communities of practice, and a potential user survey (see also, Section 1.5). These engagements aim to gather input and perspectives from various stakeholders involved with the Genebank Platform.

5.3 Knowledge Management, Dissemination and Use

Consistent with the approved ToR, the evaluation will produce the following deliverables:

1. An IR based on the template provided by IAES (this report)
2. A brief presentation of preliminary findings for discussion by the Platform management and IAES
3. Draft evaluation report based on the template provided by IAES
4. Three module reports two deep dive studies and a report of the SNA
5. A final evaluation report with a maximum of 25 pages, an executive summary, and a set of annexes with additional information to justify and supplement the main body of the report. A draft outline for the final report is provided in Annex 5.
6. PowerPoint presentations covering the main points of the evaluation, including purpose, methods, findings, conclusions, recommendations, and additional notes relevant to the evaluation.

The evaluation team will ensure the inception and final evaluation reports are prepared and finalized according to the guidance in the evaluation ToR, including towards their publication on the IAES website.

The IAES will organize a validation meeting with Crop Trust and with the Genebanks Initiative where the evaluation team will present results. The evaluation report will be disseminated to key internal and external stakeholders. The evaluation report and its derivative products will be publicly available. The evaluation co-leaders will support IAES in the development and implementation of a knowledge management, dissemination and use plan. The team co-leaders and evaluation team will present and share the evaluation-related results to targeted audiences via various communication channels upon request by the IAES.

5.4 Quality Assurance

The evaluation co-leaders will be responsible for providing an initial level of quality assurance for the evaluation process. They will utilize the checklists available in the draft (2022) IAES Guidelines for the evaluation IR and the final evaluation reports. The evaluation co-leaders will also undertake quality assurance of the module reports and deep dives.

The evaluation IR will be based on the outline and guidance provided in the draft IAES IR Guidelines from 2022. In line with this guidance and the evaluation ToRs, IAES will engage experts from two external independent evaluation stakeholder groups to ensure the quality of the evaluation outputs. These groups include: i) peer reviewers with relevant expertise from the IAES/ISDC roster of subject-matter experts, and ii) IAES's Evaluation Reference Group (See Table 6 above). These groups will be invited to review and provide feedback on the IR, module studies, and the final report. IAES will ensure QA and ensure that the evaluation team incorporates the relevant feedback received. The final IR and all products will be published on IAES's website for public access.

The evaluation report will adhere to CGIAR evaluation reporting guidelines and undergo quality assurance processes. A first review will be undertaken by IAES, following the final report guidelines. If the quality is deemed unsatisfactory, the evaluation team will provide a revised version of the draft report. Once IAES determines that the quality of the draft report is acceptable in terms of both form and substance, the evaluation manager will circulate it to the following parties: i) the Genebank Platform team, who will

review and provide comments as well as make factual corrections; and ii) external peer reviewers and members of the evaluation reference group, who will review the report and offer their comments. Based on the feedback received and the judgment of the evaluation team, the draft report will be finalized. IAES will then circulate a discussion version of the report to SIMEC for acceptance via its secretariat.

5.5 Risk Management and Mitigation Actions

The evaluation team will hold conduct weekly meetings to monitor progress in accordance with the workplan, to discuss emerging issues and challenges and develop a response. The team co-leaders will liaise regularly with the evaluation manager and will advise here of any issues that may affect the quality or timing of the final report, so that appropriate mitigation measures can be developed.

Risks with a relatively high likelihood of occurrence, in view of the summer holiday period in the northern hemisphere, are delays in the scheduling of interviews and in responses to the questionnaire survey. The team will aim to minimize these risks through regular follow-up and if needed will allow the inquiry phase to extend into the analysis and writing stage.

Risk with a low level of likelihood are disruptions to travel or unavailability of stakeholders due to external factors such as insecurity or travel restrictions. To the extent possible, the team would address this by switching destinations.

The risk associated with a loss of institutional memory in view of the discontinuity in management arrangements for the Platform that ended at the end of 2021 and the Initiative that started in 2022. This risk is mitigated to some extent by the Platform reporting until the end of 2021, and interviews with key staff and stakeholders who maintained the same (or similar) roles under the Platform and the initiative.

Annexes

Annex 1: Evaluation Workplan

| Phase/Tasks | Outputs | Responsible | Dates |
|--|---|---|------------------|
| INCEPTION | | | |
| Evaluation kick-off meeting with evaluation team | Induction PPT, relevant resources, contracts | IAES | 15 June |
| Field trip: Crop Trust–Bonn | Interviews' notes | Evaluation team | 20-22 June |
| Platform introduction to evaluation Platform management | Presentation by from the Platform coordinator | Platform team, facilitated by IAES | 26 June |
| Development of the IR | Draft IR with evaluation design matrix | Evaluation team | By 3 July |
| IR peer reviews (ERG, external SME) | Compiled feedback from peer-reviewers | IAES | By 5 July |
| Integration of feedback from peer reviewers (ERG, external SME) | Response matrix | Evaluation team | By 6 July |
| IR shared with SIMEC | Final IR with evaluation matrix | Evaluation team & IAES | 7 July |
| INQUIRY: DATA COLLECTION AND ANALYSIS | | | |
| Desk review, literature review | Background section with literature review, analysis frameworks/ tools, content analysis notes | Evaluation team - all | June-August |
| Questionnaire survey; development of survey instrument; survey administration; analysis and write-up | Survey instrument, survey results note | Evaluation analyst, evaluation team - all | June-August |
| Interviews | Interview notes | Evaluation team, IAES as required | June-September |
| Field trips: 2 designated genebanks at CGIAR Centers | Interview notes | Evaluation team co-leads/designated SME | August-September |
| Case studies/deep dives/analytical studies (2-3) | Sub-report/note | Evaluation team co-lead & designated SMEs | August-September |
| GHUs | | Designated SME with evaluation team co-lead | |
| Cost Utility | | Evaluation team co-lead with evaluation analyst | |
| Social Network Analysis | SNA sub-report | Designated SME with evaluation co-lead | July- August |
| Developing sub-component studies | Module component study report | SMEs with evaluation team co-leads | By 30 September |
| Data triangulation, analysis, and report development | Detailed evaluation report outline to IAES | Evaluation team - all | By 15 October |
| REPORTING | | | |
| Validation workshop with Platform management/relevant stakeholders | PPT with preliminary findings, emerging conclusions, and recommendations | Evaluation team, IAES Evaluation Function | 22-28 October |

| Phase/Tasks | Outputs | Responsible | Dates |
|--|---|--|--------------------|
| Submission of draft evaluation report | Draft Genebank Platform evaluation report | Evaluation team | By 4 November |
| Report review by IAES and peer-reviewers (ERG, ISDC, external SME) | Compiled feedback by peer-reviewers and key stakeholder groups | IAES with ERG/peer-reviewers | 6-16 November |
| Integrating IAES/peer-reviewers feedback into the Draft Discussion Version of the report | Draft Discussion Version–Genebank Platform evaluation report | Evaluation team | By 30 November |
| Presentation of the draft Discussion Version of the report to SIMEC | PPT, Response matrix on the discussion version of evaluation report | Evaluation team & IAES | 1-10 December |
| Revision of the Discussion Version of the report integrating SIMEC's feedback | Final evaluation report | Evaluation team & IAES | January 2024 |
| Presentation of the final draft report to System Council | PPT, final draft evaluation report | Evaluation team & IAES | By 30 January 2024 |
| Integration of any relevant feedback, if applicable, public launch | Final evaluation report | Evaluation team & IAES | February 2024 |
| DISSEMINATION AND KNOWLEDGE MANAGEMENT | | | |
| Development of knowledge products in line with dissemination and KM strategy. | Evaluation briefs and knowledge products | IAES with input from evaluation team where necessary | Q1 2024 - onwards |

Annex 2: Evaluation Matrix

The evaluation matrix shows how the key questions map with relation to the evaluation criteria (relevance, coherence, efficiency, effectiveness and sustainability and learning for impact). QoS related questions are integrated and labeled accordingly, consistent with the [CGIAR Guidelines](#) issued in 2022.¹ Sub-questions have been developed building on those in the evaluation ToR. Data Collection methods are addressed in section 4.1 of the IR. The main data collection methods are KIIs, document review, questionnaire(s) and site visits. The evaluation matrix will be further developed by the team co-leads, SMEs and evaluation analyst to develop and refine data collection tools for each of the module reports, deep dives and analyses, and to develop the questionnaire survey(s).

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|--|---|---|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| 1. How relevant were the mandates of the Genebank Platform and the ways to achieve it? | a. How appropriate and relevant was the Platform international genetic diversity conservation objectives (SDGs, etc.) related to agriculture, e.g., in both policy and intervention priorities? How has the situation changed since 2016? | A. Review the international policy context for the Genebank Platform when it was established and consider how this has changed. How have any changes affected the relevance of the Platform's set objectives? | | X | | | x |
| | b. How applicable and comprehensive was the mandate of the Genebank Platform, <i>vis-à-vis</i> Genebanks CRP ² ? | b. Review both the 2016 proposal for the new Platform and the 2017 evaluation of the CRP and consider if the Platform mandate was appropriately formulated to address shortcomings in the CRP such as those identified in the CRP evaluation. | | X | x | x | |
| | c. How appropriate and relevant was the Platform to national genebanks and to genetic diversity conservation objectives, e.g., in both policy and intervention priorities? | c. Review examples of activities with NARS, including any joint collecting missions with NARS that resulted from gap analyses by the Platform, e.g., on PGRFA representation. Assess from written reports what impact the Platform had on national GHU activities/standards. Seek feedback from national genebanks staff, through interviews and surveys. | X | x | x | x | x |
| | d. How relevant and appropriate were the ways the Platform interacted with national genebanks? | d. Analysis of feedback from national genebanks /NARS on the training delivered (quantity and quality), and other interactions. | | X | | x | |
| | e. Did the Platform contribute to establishing links between <i>ex situ</i> conservation and other approaches (<i>in situ</i> , on-farm conservation)? | e. Review development of such linkages during the Platform's lifetime. | | X | x | x | |
| | f. How appropriate and relevant was the Platform to users' expectations and needs? | f. Review the 2017 evaluation report findings and annual reports on user requests for accessions. Explore the level of satisfaction through interviews within CG, within the country and internationally. | | X | x | x | |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|--|--|--|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| 2. To what extent did the Genebank Platform achieve progress to intended outcomes? | g. How appropriate were the ways the Platform interacted with users? | g. Analyze data on user requests and Platform reach to users, including farmers. | | X | x | x | |
| | h. How appropriate and relevant was the Platform to PGRFA policies (compliance with, contribution to)? | h. Analyze feedback from interviews and review policy module group meeting minutes relating to interactions with multiple players (e.g., the Centers' Intellectual Property focal points, Genetic Gains and Big Data Platforms, Science Leaders, breeders, social scientists, and the System Office). | | X | | | x |
| | i. How relevant and appropriate were the ways the Platform interacted with PGRFA stakeholders with regards to policies? | i. Analyze feedback from interviews and review minutes of multi-stakeholder PGR(FA) Policy Group, which was a planned development, and its interaction with FAO and other stakeholders. Draw on evidence in white papers on PGR(FA) policy submitted to the Center Director Generals and the ITPGRFA Governing Body and judge the level of influence achieved. | | X | | | x |
| | j. How relevant and appropriate were the ways the Platform interacted with the global community on cryopreservation? | j. Consult stakeholders and records on Platform cryo-staff inputs to international meetings/workshops. | X | x | x | x | |
| | A. To which extent did the Genebank Platform achieve the modules' objectives? | a. See sub questions below. | x | x | x | x | x |
| | 1. To what extent has the Platform strengthened the linkages between conservation and use in each of the CGIAR Centers? | 1. Review Center reports and collect interviewees views and identify solid examples/case studies of linkages, including evidence of information flow on genotyping (and phenotyping) and provision of seed accessions (or clonal material) to Agrifood System CRPs. | | x | x | x | |
| | 2 To what extent have the genebanks' operations improved since the launch of the Genebank Platform? | 2. Consult annual reports, POWB reports and other available reports on delivery in relation to earlier technical/expert analyses to see how many recommendations were implemented, how many SOPs are available, and what new equipment has been deployed, and then judge if operations have improved. | x | x | x | x | x |
| | 3 How effective were the activities of the Platform in enhancing the technical performance of CGIAR genebanks? | 3. By consulting reports and consulting with staff, explore how/if the identified technical improvements (e.g., longevity screening, seed sorting, image analysis, new methods for gap analysis) have been adopted. Review Genebank Operations & Advanced Learning (GOAL) workshop outputs. | x | x | x | x | |
| | 4 To what extent did the Platform contribute to harmonization of quality standards of genebanks? | 4. Review documented evidence of cross-Centers' group activity, e.g., GHU standards/phytosanitary controls and SOPs. | x | x | x | x | |
| | 5 To what extent did the Genebank Platform support core genebank operations and activities to ensure compliance with international policy? | 5. Review SOPs and other technical standards (e.g., use of DOIs) and compare them with FAO Genebank Standards to see if they align. | x | x | x | | |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|--------------------------|---|--|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| | 6. To what extent did the tools and services developed by the Platform help address the needs of other users outside the framework of the AFS-CRPs, including users whose focus is to enhance the conservation and use of genetic diversity <i>in situ</i> ? Did they facilitate more effective access and use through targeted delivery of germplasm that better meets the needs of users? | 6. Review training materials on the Platform and collect feedback about their value to external users. Explore the relationship with and input to GRIN-Global, Genesys, etc. | x | x | | x | |
| | 7. To what extent did the Platform influence policy making processes or increase CGIAR Centers' influence in policy-making processes? | 7. Positive references to CGIAR PGRFA policy engagement in publications of other stakeholders. | | x | | | x |
| | 8. How effective was the Platform in convening a multi-stakeholder policy group? | 8. Interviewees' feedback and minutes of the multi-stakeholder, PGR(FA) Policy group meetings. | | x | | | x |
| | b. How realistic were the performance targets of the Genebank Platform? | b. Review annual reports (2017-21) and POWB reports and other available documentation to see if targets and achievements reconcile and explore with senior management their view on realities. | x | x | x | | |
| | c. How effectively and appropriately was the Genebank Platform managed and governed? | c. Review 2017 evaluation and back this up with interviews with senior management at the Platform and in the Centers, as well as with external stakeholders. | x | x | x | x | x |
| | d. How well did the Genebank Platform facilitate streamlining the quality of performance reporting against its objectives among the involved parties? | d. as above | x | x | x | | |
| | e. To what extent did the Platform achieve progress on capacity building outcomes? | e. Explore with the Platform finance team whether the projected investment of at least 14% of its budget on the capacity strengthening of the genebanks and GHUs, including QMS, upgrading of equipment, storage facilities, was achieved/exceeded. Interview partners regarding capacity strengthening. Questionnaire to related CoPs. | | x | x | x | |
| | 1. To what extent did the Platform strengthen capacity in germplasm health, management and conservation? | 1. as above | x | x | x | | |
| | 2. To what extent did the Platform strengthen the capacity of CGIAR and national partners to implement and influence international policies and laws? | 2. as above, including consideration of proper use of SMTAs. | x | x | x | x | x |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|--|--|---|---|------------------|-------------------|-------------------|----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRA stakeholders |
| | f. How did the Platform cater to the needs of its users? | f. Interviews/questionnaire with users regarding technical development and access to germplasm. Users and beneficiaries will be considered at several levels. | | x | | x | |
| | g. QoS: Did capacity strengthening of the research team and partners address needs <i>vis-a-vis</i> the planned work, including non-scientific aspects? | g. Reassess the earlier technical evaluations of the Center genebanks in relation to the specific planned improvements to see where they align. If they do not, what justification has been provided and who signed off on any divergence from plan? Interviews with genebank managers. | x | x | x | x | |
| | h. Gender: To what extent men and women equally benefited from Platform activities, including sharing of accessions and capacity development? | h. Review of available information on gender related to delivery of/participation in Platform services and activities. Identify gender specific concerns using evaluation questionnaire. Interview with gender CGIAR gender focal points. | x | x | x | x | |
| | i. Did the Platform achieve unplanned outcomes? | i. Review project documentation and interviews with stakeholders. | x | x | x | x | |
| | j. Did the Platform allow or hamper innovative thinking, research and activities by CGIAR genebanks? | j. Review report of the 2017 workshop that generated an initial assessment of the status of GHUs in the Platform, and track follow-through in annual reports and other sources of information. Interview staff of the genebanks, including some GHU leaders. | x | x | x | x | |
| | k. Were the targeted improvements to GHUs adequate to ensure improvements in the availability of disease-free, viable documented germplasm from the Platform genebanks? | k. GB reviews and GHU documentation. | x | x | x | | |
| 3. How did allocation of resources (funds, people, time, expertise, etc.) support the achievement of the Genebank Platform's outputs and outcomes? | a. How efficient and transparent were the genebank Platform governance, leadership and staffing arrangements? | a. Review the 2017 evaluation report and backup with discussions with the Genebank Platform leaders. Review SMT reports and follow-up. | x | x | x | x | |
| | b. How does coverage of the essential capital requirements for the genebanks compare under the Genebank Platform arrangement, compared to CRP or Initiative? | b. Compare budget allocation records under the two arrangements but reconcile with needs assessment as they vary year by year. That is, account for varying demands, not just total budget allocation. | | x | | | |
| | c. What are cost effectiveness and efficiency considerations between externally hosted models of the Genebanks CRP and Platform, <i>vis-à-vis</i> CGIAR-hosted initiative? | c. Analyze financial information, particularly relating to management/institutional overheads as a component of relative cost effectiveness. For efficiency, gather evidence on communications about genebank management within the Centers, within the Platform as an external model and between the CGIAR and the Platform. | | x | x | x | |
| 4. What strategies, internal or external mechanisms and | a. What strategies and internal mechanisms and factors contributed to, or inhibited, timely and cost-effective achievement of outputs and outcomes? | a. Consult meeting minutes and interview senior management. | | x | x | | |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|--|---|--|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| factors contributed to, or inhibited, timely and cost-effective achievement of outputs and outcomes, intended and unintended? | b. What strategies and external mechanisms, and factors contributed to, or inhibited, timely and cost-effective achievement of outputs and outcomes, intended and unintended? | b. Review documented response to the pandemic and other emerging situations, its impact on operations and the coping strategies implemented. | x | x | x | x | |
| | c. Were risk assessment and mitigation strategies put in place and exercised in light of the transition? | c. Review whether there was a seamless continuation of incremental improvements to operations through QMS, to the GHUs, etc., across the transition. | x | x | x | | |
| 5. How did the research, evidence, capacity agenda of the Platform complement and/or strengthen related genebank-focused work in CGIAR, towards the Genebank Initiative? | a. How has the approach of the Genebank Platform added value to CGIAR and to Crop Trust respectively, in financial and non-tangible terms? | a. Review standing of CGIAR and the CT in the international arena because of their direct involvement in the Platform, as evidenced by reference within international policy documents. | | x | x | x | |
| | b. What was the difference in how the Genebank Platform enhances genebanks' operating standards across CGIAR, compared to CRP arrangement? i.e., using Genebank CRP evaluation as a baseline. | b. Compare the level of operating standards improvements triggered by the technical reviews (including evidence in the 2017 evaluation report) with more recent evidence detailed in the annual reports. | x | x | | | |
| | c. To what extent did the Platform consider intersections with gender issues and in what ways did this contribute to the Genebank Platform outcomes? | c. Review output of all training workshops and quantify gender balance, for events within the Centers and with NARS. | x | x | x | x | |
| 6. How well were Genebank Platform operations harmonized, aligned, and coordinated with non-CGIAR genebanks? | 1. How effectively was comparative advantage of CGIAR genebanks exercised and delivered on? | 1. Reflect on ISDC 2022 report on limitations of the CA approach to CGIAR Platform. Explore in what ways the Platform strengthened the CGIAR genebanks comparative advantage. | x | x | x | x | x |
| | 2. How has the Genebank Platform engaged in relevant policy discourses among key external organizations? | 2. Gather evidence on number of policy discourses in minutes of Policy Unit (under policy module). Ground truth through discussions with representatives from FAO, ITPGRFA, etc. | | x | | | x |
| | 3. To which extent did the Platform contribute to a harmonization of reporting needs and formatting to better serve CGIAR and the wider genetic resources community? | 3. Review the Platform's roles in adoption of GRIN-Global, engagement with Genetic Gains and Big Data Platforms regarding data standards and exchange, etc. Seek evidence that the Platform's interventions were positive. Written interviews with non CGIAR genebanks (see also, 8d). | | x | x | x | |
| 7. What learning mechanisms have been built into the Genebank Platform | a. How has the Genebank Platform improved the security of crop collections held in trust by CGIAR genebanks, with specific analysis to physical security in fragile and conflict states? | a. Collate data on number, quality and appropriateness of accessions added per year for the mandated crops from the annual reports, etc. Analyze response by ICARDA to conflict in Syria, etc. (see also 7i). | | x | x | | |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|---|---|---|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| design and implementation to facilitate the potential sustainability of Platform results? | b. Is the financial sustainability of CGIAR genebanks better assured today than before the Genebank Platform was launched? | b. Analyze contributions from Endowment Fund and other financial reports. | | x | | | |
| | c. How did the learning mechanisms change when comparing the situation during operations before the Platform and towards the end of the Platform? | c. Examine learning methods under the CRP (see evaluation) and compare with Platform procedures. Interview key staff. | x | x | | | |
| | d. To what extent has the Genebank Platform enhanced the sustainability of the genebanks in terms of conservation security and non-financial risks? | d. Review record on safety duplication in Svalbard, which was a major policy driver for the Platform. Detail the role (if any) of the Platform in the appointment of genebank managers when retirements happened. | | x | | | |
| | e. What are the short- and long-term lessons learned around optimal mechanisms to fund the genebanks? Did raising genebanks' standards facilitate their eligibility for long-term funding? | e. Collate information on grant bid successes (to councils, foundations) and any other attempts to 'uplift' funding. Learn which factors determine the success of approaches to donors. | | x | | | |
| | f. To what extent were succession plans for internationally and nationally recruited staff in place? | f. Review appointments process to replace genebank managers, onboarding processes, and succession plans for other critical staff at the Center level. | | x | x | | |
| | g. To what extent did the Platform address issues related to education and outreach? | g. Review outcomes of the GOAL-Genebank Operations & Advanced Learning – and other training courses (questionnaire). | | x | x | | |
| | f. How effectively did the Platform communicate its results and how has this contributed to long term support for its objectives? | Review of communications efforts and reach. | | x | | | x |
| | h. To what extent did the Platform increase its ability to address the needs of potential new users outside the academic and breeding community? | h. Interrogate mechanisms by which new users responded to. Judge whether the milestones and annual POWB are so well defined that the system is inflexibility and unable to be responsive. | | x | | x | |
| | i. To what extent does Platform risk management address the unpredictable? | i. Review response to pandemic and determine how/if QMS was changed accordingly. Analyze evidence of system-wide learning and readiness for future conflicts/emergencies. | | x | x | | |
| | j. QoS: What procedures and mechanisms were in place for internal and external coherence peer-reviews, to enhance learning? | j. Explore if internal committee reviews of papers (other publications) take place before submission (applies also to bids for funding). Determine whether property protection is considered in an appropriate manner. | x | x | x | | |
| 8. In what ways did the Platform contribute to achieving global development | a. QoS: What is the contribution of the Platform outputs to breeding science-based innovations, targeted capacity development, and advice on policy? i.e., what were the main contributions of the Platform to ITPGRFA and international exchange of PGRFA? | a. Assessment of key scientific outputs, innovations and advice and review available evidence of their wider uptake. Review the impact pathways of the Platform and the extent to which the Platform engaged with relevant actors to drive progress along these pathways. | x | x | x | x | x |

| Key Evaluation Questions | Sub-Questions | Evidence and Indicators/Data Collection Methods | Primary Informants (Interviews, Questionnaire) | | | | |
|---|---|---|---|------------------|-------------------|-------------------|-----------------------|
| | | | COP | GB Management | Internal Users | External Users | PGRFA stakeholders |
| objectives, notably the SDGs, along its impact pathway? | b. Did all the intended target groups-including the CGIAR and non-CGIAR genebanks and partners benefit equally from the intervention? | b. Identify benefits for different groups <i>vis à vis</i> the original proposal and evolving expectations of the PGRFA community. | x | x | x | x | x |
| | c. How transformative were interventions under the Genebank Platform? Does it create enduring changes in norms and systems (e.g., ITPGRFA, PGRFA), whether intended or not? | c. Interviews with FAO and other key policy actors/observers. Consider indirect influence through contributions to the wider community (publications etc.). | | x | x | x | x |
| | d. To what extent did the Platform contribute to changes in non-CGIAR genebanks? | d. Identify pathways leading to influence on external genebanks. Follow up with interviews/written interviews with external genebanks. | | x | | x | |

Annex 3: Stakeholder Analysis

The following table presents a preliminary overview of the Genebank Platform stakeholders by category. Some stakeholders appear in more than one category, notably Crop Trust, which implemented the Genebank Platform and was also a funder.

| Category | Type | Stakeholder s' name | Composition (where relevant) | N | Role |
|---------------------------------------|-------------------------------------|--|---|-----|--|
| Leadership, Management and Governance | Mixed (CGIAR and non-CGIAR members) | CGIAR System Management Board and A15 Center Directors General | 4 CGIAR Center Directors General, 3 Center Board members, 2 independent members, executive director of CGIAR System Office <i>ex officio</i> | 10 | Approve CGIAR policy positions and instruments relevant to plant genetic resources |
| Leadership, Management and Governance | CGIAR | CGIAR Genetic Resources Policy Working Group | Representatives from: Center genebanks, Center Intellectual Property Focal Points/CLIPNet, System Management Office, Science Leaders Group, Excellence in Breeding and Big Data Platforms, virtual social scientists' network, Agroforestry GR specialist. Other specialists from within CGIAR are invited to join meetings on a needs basis, depending on issues under consideration | TBD | Enables the policy module to communicate with and obtain feedback from legal and policy experts within the CGIAR System |
| Leadership, Management and Governance | Mixed (CGIAR and non-CGIAR members) | Crop Trust Executive Board | 4 members appointed by the ITPGRFA Governing Body, 4 members appointed by the Crop Trust Donor Council, 1 non-voting member appointed by the DG of the FAO, 1 non-voting member appointed by the Chair of CGIAR, 2 members appointed by the Executive Body, Crop Trust executive director <i>ex officio</i> | 13 | Takes the ultimate responsibility for the Platform's governance |
| Leadership, Management and Governance | Non-CGIAR | Crop Trust executive director | Previously Marie Haga, then Stefan Schmitz | 1 | Takes the responsibility for the effective management of the Crop Trust |
| Leadership, Management and Governance | Mixed (CGIAR and non-CGIAR members) | Independent Advisory Committee (IAC) | 3-4 PGRFA experts (including a representative of the private sector), 1 or 2 representatives of AFS CRPs, 1 or 2 representatives of Big Data and EiB Platforms management team, representative <i>ex officio</i> | 5-8 | Provides general advice to the management team on the implementation of the Platform. |
| Leadership, Management and Governance | Non-CGIAR | Platform Coordinator | Charlotte Lusty | 1 | Manages the technical and financial implementation of the Platform on a day-to-day basis and coordinates the activities of the conservation module under the guidance of the management team |

| Category | Type | Stakeholder s' name | Composition (where relevant) | N | Role |
|--|--|---|--|----------|--|
| Leadership, Management and Governance | Mixed (CGIAR and non- CGIAR members) | Management team | Executive committee of the A15 (3 elected genebank managers), coordinator of GHUs, coordinator of policy module, Crop Trust Science team leader; Platform coordinator | 7 | Makes management decisions concerning the technical and financial implementation of the Platform and takes direct responsibility for the coordination of the three modules |
| Leadership, Management and Governance | Non- CGIAR | Finance and Administratio n Committee | Crop Trust staff: • Finance director • Platform finance officer • Contracts officer • Platform coordinator • Scientific staff when required | Min 4 | Administers all contracts and carries out financial, monitoring and reporting relating to the Platform implementation |
| Leadership, Management and Governance | CGIAR | Article 15 group (A15) | Genebank managers of the 11 CGIAR genebanks | 11 | Coordinates the feedback from each of the CGIAR genebank managers on specific management decisions |
| Leadership, Management and Governance | CGIAR | Bioversity International | TBC | TBC | Coordination of the policy module |
| Leadership, Management and Governance | CGIAR | IRRI | TBC | TBC | Coordination of the policy module |
| Leadership, Management and Governance | Non-CGIAR | Multi- stakeholder Plant Genetic Resources Policy Group | Includes up to eight experts in PGRFA policy drawn from outside CGIAR, including from private sector organizations, agricultural research organizations from developed and developing countries, civil society and/or farmers organizations, the Secretariats of the ITPGRFA and CBD/Nagoya Protocol, universities, Global Forum on Agricultural Research (GFAR), additional experts, as needed, depending on issues under consideration | TBC | Identifies important issues for CGIAR to consider and options for addressing them |
| Funders | Non-CGIAR | Crop Trust (Executive Board) | | | Support to nine Centers hosting eligible genebanks through Crop Trust Endowment Fund |
| Funders | Non-CGIAR | Bill and Melinda Gates Foundation | | | Direct support to Platform activities |
| Funders | Non-CGIAR | German Agency for International Cooperation (GIZ) | | | Direct support to genebank operating under umbrella of platform. Indirect support through Crop Trust Foundation and CGIAR Window 1/2. |
| Funders | Non-CGIAR | | Various (e.g. EU, Finland) | TBD | Support to Platform activities via Crop Trust, complementing Endowment Fund |
| Internal Partners | CGIAR | CGIAR Centers | | 11 | Host and manage genebanks (and GHUs) |

| Category | Type | Stakeholder's name | Composition (where relevant) | N | Role |
|-----------------------------|----------------------------|--|---|-----|---|
| Internal Partners | CGIAR | Big Data Platform (closed 2021) | | | Closed in December 2021. Its work continues under the CGIAR digital innovation initiative and the digital and data unit at System Office. |
| Internal Partners | CGIAR | EiB Platform (closed in 2021) | | | EiB provides system-level coordination, shared services, expert guidance, resources, and access to cutting-edge innovations to support CGIAR breeding programs |
| External partners | International organization | Intergovernmental Panel on Climate Change | | | Collaboration in safe exchange of germplasm |
| External partners | International organization | Commission on Genetic Resources for Food and Agriculture | | | Collaboration in the delivery of the Global Plan of Action |
| External partners | International organization | ITPGRFA | | | Global Information System on PGRFA, Global Information System on plant genetic resources for food and agriculture, International policy development and compliance for plant genetic resources for food and agriculture, capacity building for policy implementation at national level, international PGRFA policy development and compliance, capacity building for policy implementation at national level. |
| External partners | International organization | Convention on Biological Diversity/ Nagoya Protocol | | | International Access and Benefit Sharing policy development and compliance, capacity building for policy implementation at national level. |
| External partners | Government | USDA | | | Training and support for accessions and data management using GRIN-Global. |
| External partners | Other genebanks | Svalbard Global Seed Vault | | | Ultimate safety duplication of CGIAR germplasm. |
| External partners | Other genebanks | Other international genebanks | | | Complementarity with CGIAR collection; can access and provide information to facilitate research in agriculture |
| External partners | Academia/ research | Various partners | e.g UC-Davis, Wageningen university, others | TBC | Can access and provide information to facilitate research in agriculture; integration with researchers and breeders. |
| Internal partners/ Users | CGIAR | CGIAR CoPs | Eight CoPs and CoP coordinators: <ul style="list-style-type: none"> • Quality Management System • Impact fellows • Data management • Clonal crops • Gap analysis • Genetic Resources Policy | TBC | Access to capacity building, sharing of information, research activities; provision of knowledge and expertise |

| Category | Type | Stakeholder s' name | Composition (where relevant) | N | Role |
|-----------------------------|---|---|--|-----|--|
| | | | <ul style="list-style-type: none"> Seed Quality Management GHUs | | |
| External partners/ Users | Other genebanks | NARS | National genebanks | TBD | Complementarity with CGIAR collection, learnings from CGIAR Platform, cooperation with CGIAR genebanks |
| Users | CGIAR | CGIAR breeding programs | Breeders | TBD | Use of accessions, use of the Genebank Platform information system, use of Genesys. |
| Users | Academia/ research/ private- sector breeding companies | Other non- CGIAR breeding programs | Breeders | TBD | Request and use of accessions, use of the Genebank Platform information system, use of Genesys. |
| Users | Academia/ research | Scientific community | Scientists | TBD | Request and use of accessions; use of the Genebank Platform information system; use of Genesys. |
| Users | CGIAR and non-CGIAR | Participants of annual Genebank meetings | Crop Trust and Platform main leadership and management figures, CGIAR genebank managers, members of NARS of the hosting country and, occasionally, other NARS | TBD | Attendance of the Annual Genebanks Meeting. Sharing knowledge, networking activities. |
| Users | Farm households | Farmers' groups | Farmers | TBD | Request and use of genebank accessions; access to capacity building activities from the Platform. |

Annex 4: Data Collection Instruments

Interview Guides

The questions in each of the guides will be adjusted in view of the interest and role of the interviewee. Specific questions will be added related to the nature of engagement. Specific questions will be added related to the role of the interview and the nature of their engagement with the Platform.

Introduction and Recording Template

| | |
|----------------|--|
| Date | |
| Name | |
| Position | |
| Interview lead | |
| Participants | |
| Taking notes | |

Good morning/afternoon and thank you for taking the time to meet. My name is [...] and I'm a member of the external evaluation team who has been asked to evaluate the CGIAR Genebank Platform from 2017 to mid-2021, to learn about your experiences and perspectives, and to make recommendations for the next phase of the one CGIAR Genebanks Initiative. [My colleague(s) XX is/are also on the call.]

We will hold your answers and comments in strict confidence and interview minutes will be stored in IAES Secretariat folders. They will not be shared with any third party including the Platform team. If you are concerned about the sensitivity of any issues you may raise, just let us know and we will take note of your concerns. We will not name you, and we will not quote your words directly. But it will be important to hear your perspectives—positive, negative, and mixed—to be able to offer useful recommendations for any future action.

Your participation is voluntary—that is, you may decline to answer any question, or to participate at all.

Do you have any questions?

Would you allow us to record or take a transcript of the meetings to supplement our notes?

May we have your permission to begin?

Stakeholder Category: Internal and External Partners

1. Please introduce yourself, and tell us what type of engagement you had with the Platform, for how long you've been involved/in partnership?
2. Please tell us what you expected of the Platform when you began your engagement, and to what degree your expectations were met. *[Probe on any unmet expectations]*
3. What do you think are the most important results the Platform achieved? *[Probe on quality, sufficiency, expectations for the next years]*
4. Were there any difficulties or challenges that affected delivery of results? What were these, and what effects did this have on the Platform, in your opinion?
5. Have you participated in any capacity development activities organized by the Platform?
6. How well positioned is the Platform—including the genebanks managed by the CGIAR Centers—to respond to local and evolving constraints, including the COVID-19 Pandemic?
7. *[Question to be asked only to internal partners, e.g., Centers, CRPs...]* How well do you think the Platform succeeded in managing resources and partners?

8. How did the Platform services support you in reaching your institution/organization's own goals and priorities? What could be improved?
9. What are the most relevant indicators to monitor and evaluate the Platform (or similar initiative) performance and achievements in the coming years?
10. To what extent has the Platform enabled CGIAR to engage with the wider community concerned with plant genetic resources for food and agriculture in terms of both depth of engagement and reach? To what aspect of the Platform and more generally of CGIARs work on plant genetic resources for food and agriculture require further attention in the Genebanks Initiative?
11. Do you have any other comments or issues you'd like to discuss before we finish?

Stakeholder Category: Internal and External Partners

1. Please introduce yourself, and tell us how long you've been engaging with/using the Platform products/outputs?
2. Please tell us what you expected of the Platform when you began your engagement, and to what degree your expectations were met. *[Probe on any unmet expectations]*
3. Did the Platform bring added value to your work? *[Probe on quality, sufficiency, expectations for the next years]*
4. Were there any difficulties that affected achieving results? What were these?
5. Have you participated to any capacity development event organized by the Platform? *[if yes, Probe on satisfaction]*
6. Have you participated in the annual general meeting held by the Platform? *[if yes, Probe on satisfaction]*
7. In your experience using services of the Platform, have you faced any difficulties related to the topics of gender, youth or climate change or other specific needs (e.g., availability of desegregated data, specific analytical tools...)?
8. How useful/relevant were the Platform's products/outputs to your local and evolving constraints including the COVID-19 Pandemic?
9. How well do the Platform services support you in reaching your institution/organization's own goals and priorities? What could be improved?
10. How could the development of the Platform achievements be best sustained in the future? Who should be involved?
11. What are the most relevant indicators to monitor and evaluate the Platform performance and achievements in the coming years?
12. To what extent has the Platform enabled CGIAR to engage with the wider agriculture and research community concerned with genetic diversity in terms of both depth of engagement and reach?
13. Do you have any other comments or issues you'd like to discuss before we finish?
14. Do you have any recommendations to share for the future of the genebanks work in CGIAR?

Thank you very much for sharing your time and insights. We will continue to be available via email if you have any other thoughts you'd care to share.

Annex 5: Final Evaluation Report Outline

Table of Contents

Abbreviations and Acronyms

Executive Summary (max. 5 pages)

Background and Context

Purpose and Scope

Methods for the Evaluation

Key Findings

Lessons Learned

Recommendations

1. Introduction
 - Background and Context
 - Purpose and Scope of the Evaluation
 - Program Overview
 - Purpose and Objectives
 - Management, Governance and Funding
 - Looking Ahead to the Genebanks Initiative
2. Evaluation Methodology
 - Approach and Methodology
 - Limitations and Mitigation Actions
3. Key Findings
 - Relevance
 - Effectiveness
 - Efficiency
 - Coherence and Added Value
 - Sustainability and Learning for Impact
4. Lessons Learned, Conclusions and Recommendations
 - Lessons Learned
 - Conclusions
 - Recommendations

Annexes

1. References
2. Detailed Methodology
3. Stakeholder Analysis
4. Data Collection Instruments (Interview and Focus Group Discussion Guides)
5. List of Documents Reviewed
6. List of Interviewees
7. Evaluation Team Profile with Team Declaration of Interest Statements
8. Genebanks Initiative Evaluability Assessment
9. Executive Summaries of Module Studies
10. Case Studies/Deep Dives (or Summaries)
11. Survey Results

Annex 6: List of Interviewees

The following individuals were interviewed in June 2023 during the scoping and inception phase.

| Name | Gender | Affiliation | Stakeholder type |
|---------------------------------|-----------------|--|-------------------------|
| 1. Charlotte Lusty | F | Former CGIAR Genebank Platform Coordinator, currently CGIAR Genebank Initiative co-lead | CGIAR/former Crop Trust |
| 2. Sarada Krishnan | F | Director of Program, Crop Trust | Crop Trust |
| 3. Nelissa Jamora | F | Monitoring and Evaluation expert, previously M&E focal point for the CGIAR Genebank Platform, Crop Trust | Crop Trust |
| 4. Faith Wambua-Lüdeling | F | Science Administrator, Crop Trust | Crop Trust |
| 5. Stefan Thyen | M | Head Contract Development and Compliance, Crop Trust | Crop Trust |
| 6. Janny Van Beem | F | Genebank QMS Specialist, Crop Trust | Crop Trust |
| 7. Matija Obreja | M | Information Systems Manager, Crop Trust | Crop Trust |
| 8. Luigi Guarino | M | Director of Science, Crop Trust | Crop Trust |
| 9. Enrico Bonaiuti | M | MEL Research Team Leader, Genetic Innovation AAm ICARDA | CGIAR |
| 10. Bia Carneiro | F | Social Research and Media Specialist, CGIAR Focus Climate Security project | CGIAR |
| 11. Peter Wenzl | M | Head of Genetic Resource Program, CIAT | CGIAR |
| 12. Sonja Vermeulen | F | Managing Director of Genetic Innovation Science Group | CGIAR |
| 13. Zakaria Kehel | M | Head of Genetic Resources, ICARDA | CGIAR |
| 14. Nicolas Roux | M | Principal Scientist, Alliance Bioversity International and CIAT | CGIAR |
| 15. Stefan Kacherliess | M | Senior Advisor, Fund for International Agricultural Research, GIZ | Funder |
| 16. Alexander Shoening | M | Senior Advisor, Fund for International Agricultural Research, GIZ | Funder |
| 17. Kent Nnadozie | M | ITPGRFA Secretary, FAO | External Partner |
| 18. Maher Medini | M | Research Associate, Tunisian Genebank | User/NARS |
| | 7 Female | | |
| | 11 Male | | |

Annex 7: List of Documents Reviewed

Genebank Platform, 2017-21

CGIAR Genebank Platform. (2016). Genebanks Platform: Full Proposal 2017-2022 [Genebanks Platform: Full Proposal 2017-2022 \(cgiar.org\)](#) (Cover page)

CGIAR Genebank Platform. (2017). Governance and Management of the Genebank Platform [Governance and Management | The Platform | CGIAR Genebank Platform \(genebanks.org\)](#)

CGIAR Genebank Platform. (2018). Annual report 2017: CGIAR Genebank Platform. [2017-Genebank-Platform-Annual-Report.pdf \(genebanks.org\)](#)

CGIAR Genebank Platform. (2019). Annual report 2018: CGIAR Genebank Platform. [2018 CGIAR Genebank Platform Annual Report \(genebanks.org\)](#)

CGIAR Genebank Platform. (2020). Annual report 2019: CGIAR Genebank Platform. [2019-Genebank-Platform-Annual-Report.pdf \(genebanks.org\)](#)

CGIAR Genebank Platform. (2021). Annual report 2020: CGIAR Genebank Platform. [2020-Genebank-Platform-Annual-Report.pdf \(genebanks.org\)](#)

CGIAR Genebank Platform. (2022). Annual report 2021: CGIAR Genebank Platform. [2021-Genebank-Platform-Annual-Report 21June2022.pdf \(genebanks.org\)](#)

CGIAR Genebank Platform. (2022). CGIAR Genebank Platform: Summary Report 2017-2021. [Genebank-Platform-Summary.pdf \(cgiar.org\)](#)

CGIAR Genebank Platform (Annual 2017 to 2021). Plan of Work and Budget (Annual 2017 to 2021) [Work Plans | Resources | CGIAR Genebank Platform \(genebanks.org\)](#)

CGIAR Genebank Platform. (2020). System level review of genebank costs and operations (GCO). [GCO-Report 261020.pdf \(genebanks.org\)](#)

Africa-rice Center (2020). Genebank review. [AfricaRice genebank-Report of External Review.pdf](#)

Bioversity (2020). Genebank review. [Bioversity International | Genebanks | CGIAR Genebank Platform](#)

CIAT (2019). Genebank review. [CIAT | Genebanks | CGIAR Genebank Platform](#)

CIMMYT (2019). Genebank review. [CIAT | Genebanks | CGIAR Genebank Platform](#)

CIP (2020). Genebank review. [CIAT | Genebanks | CGIAR Genebank Platform](#)

ICARDA (2019). Genebank review. [CIAT | Genebanks | CGIAR Genebank Platform](#)

ICRAF (2020). Genebank review. [CIAT | Genebanks | CGIAR Genebank Platform](#)

ICRISAT (2020). Genebank review. [ICRISAT | Genebanks | CGIAR Genebank Platform](#)

IITA (2019). Genebank review. [IITA | Genebanks | CGIAR Genebank Platform](#)

IRRI (2019). Genebank review. [IRRI | Genebanks | CGIAR Genebank Platform](#)

Independent Science for Development Council. 2022. Identifying and Using CGIAR's Comparative Advantage. Rome: CGIAR Independent Advisory and Evaluation Service. [Identifying and Using CGIAR's Comparative Advantage | IAES | CGIAR Independent Advisory and Evaluation Services](#)



Genebank CRP (2012-2016) and Initiative (2022-)

CGIAR (2021). Proposal for the Conservation and Use of Genetic Resources (Genebanks) Initiative. [INIT03-Conservation-and-Use-of-Genetic-Resources-Genebanks.pdf \(storage.googleapis.com\)](#)

Jackson, M. T., Borja Tome, M. J., & Ford-Lloyd, B. (2017). Evaluation of CGIAR research support program for Managing and Sustaining Crop Collections: Genebanks CRP. [Evaluation of CGIAR research support program for Managing and Sustaining Crop Collections: Genebanks CRP](#)

Annex 8: Evaluation Team Profile and Declarations of Conflict of Interest

| | |
|---|--|
| <p>Co-Team Leader</p> <p>Sarah Humphrey has over 30 years of experience working on environmental research and policy, project and program development and institutional strengthening with a wide range of nongovernmental, intergovernmental and research organizations in Africa, Asia and Europe. Sarah has conducted over twenty evaluations and assessments of multi-country projects and programs in the areas of environment and climate adaptation, usually acting as team leader. Earlier professional experience includes working at international level in the areas of ecosystems, water resources and natural resources management with IUCN, WWF International and the European Commission. Sarah has a PhD addressing evaluation of environmental management and an MBA with a specialization in development management.</p> | <p>Sarah Humphrey</p>  |
| <p>Co-Team Leader</p> <p>David Coombs has a PhD in Genetics and a BSc in Biological Sciences from the University of Birmingham (UK). He has some 40 years of professional experience, 20 years in the UK and European private sector as a plant breeder and seed specialist, and 20 years international development experience in the agriculture, rural development, and food security sectors, and extensive expertise with program evaluations. Dr Coombs carried out a major evaluation of the CGIAR for the EU, led the Roots, Tubers and Bananas CRP review in 2020 for CAS/Evaluation and led the validation process for the EiB Platform evaluation. He has substantial experience in the analysis of programs and reports and has written many technical and evaluation papers and reports; English is his mother tongue.</p> | <p>David Coombs</p>  |
| <p>Subject Matter Expert</p> <p>Jean-Louis Pham, 65, is a French plant geneticist who recently retired from IRD, the French national research institute for sustainable development. His career was mainly devoted to the study of tropical crop genetic resources and their <i>ex situ</i> and <i>in situ</i> conservation. He was particularly interested in the impact of farmers' practices on the dynamics of crop genetic diversity, notably in West Africa and South and Southeast Asia during his secondment to IRRI. In recent years, his activities focused on policies for genetic resources and regulations on access and benefit-sharing.</p> | <p>Jean-Loius Pham</p>  |
| <p>Subject Matter Expert</p> <p>Hugh W. Pritchard has 40 years' experience in plant species conservation, particularly the science of seed banking and cryopreservation, and is a highly-cited author. Hugh led the seed research group at the Royal Botanic Gardens Kew, Wakehurst, for 25 years, was a driving force behind the research program of the Millennium Seed Bank Project and has managed many large, competitively-funded research projects for Kew (e.g. European Union, the Darwin Initiative and UKRI). He is currently professor of botany at the Chinese Academy of Sciences, Kunming Institute of Botany, home to the Germplasm Bank of Wild Species (GBoWS) of China. He has previously advised many organizations on genebank science, including USDA, FAO and the Crop Trust.</p> | <p>Hugh W.Pritchard</p>  |

| Subject Matter Expert | Shweta Anand |
|--|---|
| <p>An academican by profession and an evaluation practitioner by passion, Shweta Anand specialises in of Participatory Communication for Development. A Ph.D. holder and a gold medallist from the University of Delhi, she has more than 15 years of experience in the development sector. Her research interests include gender, ICT4D, and designing and evaluating media using participatory methods. She has worked in various capacities with a wide range of national and international organisations including the Center for Media Studies, Parirakshan Organica, National Health Systems Resource Center (NHSRC), UNICEF, International Federation of Home Economics (IFHE). She is currently working as an Assistant Professor in the Department of Development Communication Extension, Lady Irwin College, University of Delhi.</p> |  |
| Evaluation Analyst | Stefania Sellitti |
| <p>Stefania Sellitti is a development economist with a strong background in agriculture and rural development. She is currently working as evaluation analyst consultant at the CGIAR Evaluation Function. She worked on several research projects with CIAT and Crop Trust, focusing on the empowerment of workers in coffee estates in Latina America, on the knowledge about climate change in Nicaragua and Colombia, and the impact of CIATS's Genbank and bean collection. She previously worked as teaching assistant at the NOVA School of Business and Economics in Lisbon and as Research Assistant at Nocafrica. She has experience in Monitoring, Evaluation, and Impact Assessment, both within CGIAR, as an intern at the DG Agri of the European Commission, and as an external consultant for private companies, such as a Plan-Eval in Brazil and COATL in Portugal.</p> |  |

| S/N | Conflict of Interest Statements | David Coombs | Sarah Humphrey | Jean Louis Pham |
|-----|---|--|------------------------|--|
| 1 | Main employer and any other organization that provides you with remuneration (which may be named participants in the project/ program/ proposal you are being asked to review/evaluate. | Independent Consultant: CGIAR/IAES, The KonTerra Group, CYE, WS Atkins International Limited, GFA Consulting Group, IBTCI, Landell Mills; UN-evaluations for WFP, FAO | Independent Consultant | Retired researcher, public Research Institute. |
| 2 | Are you aware whether a relative, close friend, close colleague or someone with whom you have financial ties is receiving funding from or giving advice to a project/program/proposal you are being asked to review/evaluate? | No | No | No |
| 3 | Does any project/program/proposal you are being asked to review/evaluate cite any of your own current research? | No | No | No |
| 4 | Does any project/program/proposal you are being asked to review/evaluate name researchers with whom you have active collaborations, recently published joint papers or are in regular email correspondence? | No | No | No |

| S/N | Conflict of Interest Statements | David Coombs | Sarah Humphrey | Jean Louis Pham |
|-----|--|---------------------|---------------------|--------------------|
| 5 | Does any project/program/proposal you are being asked to review/evaluate name any of your past PhD students are active participants? | No | No | No |
| 6 | I declare that the information provided on this statement is true and complete. | Dated: 3 March 2022 | Dated: 27 June 2023 | Dated: 30 May 2023 |

| S/N | Conflict of Interest Statements | Hugh Wynford Pritchard | Stefania Sellitti | Shweta Anand |
|-----|---|--|------------------------------------|--|
| 1 | Main employer and any other organization that provides you with remuneration (which may be named participants in the project/ program/ proposal you are being asked to review/evaluate. | (2023-24) Consultant to FAO writing guidelines for <i>ex situ</i> conservation of recalcitrant seeds AND cryopreservation; (2022-27) Chinese Academy of Sciences - Kunming Institute of Botany part-time (c. 0.30 FTE) science group leader in seed biology. | Independent consultant: CGIAR IAES | University of Delhi, Lady Irwin College. |
| 2 | Are you aware whether a relative, close friend, close colleague or someone with whom you have financial ties is receiving funding from or giving advice to a project/program/proposal you are being asked to review/evaluate? | No | No | No |
| 3 | Does any project/program/proposal you are being asked to review/evaluate cite any of your own current research? | No | No | No |
| 4 | Does any project/program/proposal you are being asked to review/evaluate name researchers with whom you have active collaborations, recently published joint papers or are in regular email correspondence? | No | No | No |
| 5 | Does any project/program/proposal you are being asked to review/evaluate name any of your past PhD students are active participants? | No | No | No |
| 6 | I declare that the information provided on this statement is true and complete. | Dated: 10 May 2023 | Dated: 9 February 2023 | Dated: 27 June 2023 |

Annex 9: MEL Focal Point Key Tasks by Evaluation Phase

| S/N | Evaluation Phase | Evaluand Monitoring, Evaluation and Learning (MEL) focal point Key Tasks |
|----------|--------------------------------------|---|
| A | Scoping/pre-planning | <ul style="list-style-type: none"> Assemble relevant and reliable extant program documentation and data for the evaluation against the requested detailed list of required documentation. This will constitute the evaluation repository Provide access to a designated, secure Sharepoint folder for the evaluation document upload or upload to designated Sharepoint folder of IAES Review key evaluation questions. |
| B | Inception | <ul style="list-style-type: none"> Participate in the evaluability assessment; namely, provide the supporting documentation and reliable data. Complete the spreadsheet based on the condensed core parameters of the CGIAR guidelines on conducting an evaluability assessment (2022) and provide supporting documentation where necessary.¹⁸ Review the evaluation design matrix and comment on the methods/and data sources (e.g., Annex 2 in an IR from evaluation of Big Data Platform) Co-facilitate engagement(s)/meetings as needed, with evaluation team members Review the evaluation IR, developed based on the ToR, see above example for Big Data Review questionnaire for online survey, if applicable Contribute to the review of the stakeholder analysis. |
| C | Inquiry/data collection and analysis | <ul style="list-style-type: none"> If needed, support/facilitate access to interviewees/key informants to answer questions from the evaluation team Serve as a key informant about the MEL system for an interview and respond to online surveys if applicable. |
| D | Reporting/dissemination and use | <ul style="list-style-type: none"> Participate in the validation of preliminary findings, conclusions, and recommendations Coordinate comments from the Platform team on the draft evaluation report and any sub-studies (e.g., deep dives and module component studies) and ensure they are sent to IAES within the stipulated time Contribute to the development of the Management Response, e.g., from Big Data Platform Evaluation. When the evaluation is finalized and the management response is available, they support the use of findings to ensure that key actions are implemented and learning is woven into the programming. |

¹⁸ In line with the CGIAR Evaluability Assessment guidelines, this follows if the evaluability assessment was conducted as an integrated part of the inception phase.

Annex 10: Evaluation ToR

<https://iaes.cgiar.org/evaluation/publications/terms-reference-genebank-platform-evaluation>



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