

Peer Review of IGES Research Projects of the 2nd Phase (Rev.1)¹

July 2004

IGES Secretariat

1. Background and Purpose

Aiming to build the 3rd Phase projects on the basis of the 2nd Phase experience, all the projects of the 2nd Phase will be in principle peer reviewed in the 1st year of the 3rd Phase.

The Peer Review this time seeks to assess the projects of the 2nd Phase from both academic and administrative aspects and to reflect the results to the 3rd Phase projects for their better implementation in the next three years.

2. Process of the Peer Review

- (1) A Review Panel composed of three reviewers shall be formulated by the President to conduct the Peer Review. Each project shall be reviewed by a panel specially formulated for the project.
- (2) The reviewed project shall send the review panel members, at least 2 months beforehand, some basic information of the project and a few selected products of the project (see section 4).
- (3) *Desirably, the panel shall draw up one review report under the name of the panel, with suggestion for further improvement of the project activities. If it is difficult for the panel members to come to an agreement due to time constraints, they could state their views separately on those points at which their evaluation splits or even prepare their reports separately.*
- (4) *The final panel report* shall be submitted to the President at the end of the Peer Review and presented to the participants of the Peer Review.
- (5) The reviewed project shall discuss the review results among themselves and, if necessary, revise the project plan for the rest of the phase.
- (6) The results of the review shall be posted on the IGES Web-site with reviewers' information and project's comments on the review results.

3. Participants of the Peer Review and roles of each member:

The following roles might be expected to the Panel members and the participants of the Peer Review.

The Panel Head and Members:

- The Panel Head is appointed by the President of IGES to lead the Panel. The Head is responsible for chairing the Panel meeting and ensuring that the Panel undertakes its assessment and completes the tasks. (see attachment)
- All Panel members are responsible for participating in Peer Review and finalizing the Panel Report. They are also expected to present their review results to the participants of the Peer Review.
- The Review Panel is specifically charged to assess the following:
 - i The project's mission, strategy and priorities in the context of IGES' priorities and strategies;
 - ii The quality and policy relevance of project plan;
 - iii The effectiveness and efficiency of project management;
 - iv The quality and policy relevance of the project's products
 - v Impacts on the stakeholders, of the project's products and other related activities such as information outreach, multi-stakeholder dialogues and capacity building initiatives.

¹ The previous version was revised in the italicized parts under items 2 (3) and 2 (4), based on the experience of the UE Peer Review which was held on 22-24 June 2004. The Panel Report from the UE Peer Review could be referred to in drawing up review reports from now onward.

Project Staff:

- Throughout the review process, the collaboration and inputs of Project Leader and staff are essential for the review to run smoothly and for the report to be credible.
- The project will organize the Peer Review with the logistic assistance of the Secretariat.

4. Documentation to be sent for the review:

Basic Information on the project

- (1) Project Research Plan of the 2nd Phase
- (2) Project final report
- (3) A list of project members and their terms of office
- (4) Project budget (FY2001-2003)

Research results

- (1) A few selected products
- (2) Statement of stakeholders/clients, if possible

5. Panel Review Report:

The Panel shall draw up reports at the end of the review.

- Although the Peer Review report is expected to be comprehensive, the Panel has considerable leeway in deciding on what issues it would focus in depth. The report highlights the most significant issues faced by the project and makes recommendations on how the project could address them.
- The Panel report is expected to be succinct and written in plain language, focusing on strategic issues. It can, propose forward-looking recommendations on overall direction and priorities (rather than on detailed project content or operational management). The writing style is expected to be direct, explicit and frank.
- The Panel Review report will be prepared individually and submitted on the last day of the review. It will be posted on the IGES web-site and also be incorporated in the comprehensive report of the Second Phase Strategic Research.

6. Schedule of the Peer Review in the FY2004

Venue:	IGES Headquarters in Hayama, Japan
Projects to be reviewed:	Urban Environmental Management Project (June 2004) Forest Conservation Project (July 2004) Long-term Perspective and Policy Integration Project (August 2004) Environmental Education Project (September 2004)
Dates:	A three-day review will be held from June to September
Day 1:	Arrival, registration
Day 2:	a.m. Orientation - Presentation of the overall project research p.m. Presentation of project research activities followed by discussion
Day 3:	Presentation of project research activities followed by discussion Reception with the participants
Day 4:	a.m. Preparing a draft of the Panel Review report p.m. Presentation of the review results Finalizing the Panel Review Report
Day 5:	Departure (Overseas reviewers)

Attachment

Peer Review Principles

- Objectivity and independence: the Peer Review must be objective, transparent and participatory. The Peer Review reports must be direct, explicit and frank.
- The Review is expected to maintain high standards of quality and rigor, and is conducted by an independent and objective Panel of 3 experts selected on a basis of national and international academic standards and other criteria, such as publication records. The selection of reviewers is the sole responsibility of the President of IGES. Ideally the Panel composition meets the following requirements: (a) the Panel head who is familiar with the IGES; (b) at least one panel members (desirably two members) has academic and/or technical backgrounds relevant to the reviewed project, and (c) at least one panel member has expertise in research organization management.
- It is inevitable that the review process requires collaboration of numerous individuals in order for various participants to produce in a complex assessment report that has to meet high expectations and tight deadlines. The main participants in a Peer Review process are the Panel members, Project members and additional resource persons, if necessary.
- Peer Review must lead to constructive feedback to the project team. A healthy atmosphere of mutual respect and collaboration in the interchange of ideas with the project members is the key to the success of the review.

Topics to be covered at Peer Review:

- (a) Mission, Strategy, and Priorities
 - The appropriateness of the project's mission in light of the IGES' goals (of designing policies for protecting the environment to ensure sustainable development in Asia and the Pacific)
 - The appropriateness of the project theme in responding to the needs of the Asia Pacific region
 - The appropriateness of the project priorities and research strategy in responding to the needs of beneficiaries, especially policy makers in the region
 - Comparative advantage (niche) of IGES in conducting the research relative to the other existing research
 - The appropriateness of the roles of relevant partners in the formulation and implementation of the project's strategy and priorities, considering alternative sources of partnership with other organizations
- (b) Quality and Policy Relevance
 - The appropriateness of the project design
 - The quality and policy relevance of research done at the project
 - The Adequacy of methodology employed
- (c) Effectiveness and Efficiency of Project Plan and Management
 - The effectiveness of the project's processes for planning, priority setting, quality management (various quality and relevance assurance mechanisms) and impact assessment
 - The adequacy of the project's organizational/management structure and the mechanisms in place to manage, coordinate and ensure the excellence of the research programme and related activities
 - The appropriateness of the project schedule (time table, allocation of the staff members and budget in each year) in carrying out the project research.
 - The performance of the Project Leader in governing the project, the effectiveness of leadership throughout the project, and the sustainability of the project management culture to its mission

- The adequacy of resources (financial, human, physical and information) available and effectiveness and efficiency of their management
- The effectiveness of the project's relationships with relevant research partners and other stakeholders

(d) Accomplishments and Impacts

- Successfulness of the project research: Achieved results in comparison with the expected achievements set out in the initial plan
- The appropriateness and timeliness of recent achievements of the project in strategic research, information outreach, multi-stakeholder dialogues and capacity building
- Impacts on international, domestic and regional policy process
- The effectiveness of the project's activities/products in terms of their impact and contribution to the achievement of the mission and goals of the IGES