

1. Background

1.1 Rationale and Context

Research in the CGIAR is guided by the Strategy and Results Framework (SRF), which sets forth the System's common goals in terms of development impact (System-Level Outcomes [SLOs])¹, strategic objectives and results in terms of outputs and outcomes. The SRF was first approved in 2011 and is in the process of being updated. Currently the CGIAR's research agenda is implemented by its Centers and their partners through 15 multi-partner CGIAR Research Programs (CRPs). The programs are funded through a pooled funding mechanism in the Fund² together with bilateral funding to Centers.

The Fund Council (FC), in agreement with the Consortium Board (CB), decided at its meeting in November 2013; "that the call for the second round of CGIAR Research Programs and full proposal development should not be initiated until after the Mid-Term Review has been completed and all current CRPs have undergone *some form of external evaluation*."

The work plan (2014-17) of Independent Evaluation Arrangement (IEA), which is responsible for System level external evaluations, as approved by the FC at the same meeting, includes the completion of ten CRP evaluations by the end of 2015. For the remaining five CRPs that would not undergo a full CRP evaluation, the IEA committed to provide a framework and methodological support to the CRPs to conduct self-assessments on progress and to verify the continued validity of the CRP planned impact pathways. On this basis, it was decided that the five CRPs should each commission and fund, a 'CRP Commissioned External Evaluation' (CCEE), with the CCEE report being available before the Second Call for CRP proposals, i.e. that they should be completed in early 2016.

At their meeting on June 6 2014, the CRP Directors decided that they would prefer to undertake one CCEE exercise that combines the self-assessment and validation exercises, rather than separate self-assessment and validation exercises. They considered that the latter would be more work overall but without guaranteeing the high quality of review that will be required if these CRPs are not to be disadvantaged with respect to the ten CRPs evaluated by the IEA.

The ICRISAT led CGIAR Research Program on Grain Legumes will undertake External Evaluation (CCEE) during January to July 2015.

The CCEE is expected to serve the twin goals of

- Meeting funders' needs for accountability and ensuring that the CRP is fit for purpose before further funding is provided and
- Learning and continuous improvement for the CRP, especially with regard to research lines, partnerships, governance and management, skills, and resource requirements. It also allows for

¹The four System-Level Outcomes are: reduction of poverty, improvement of food security, increasing nutrition and health; and more sustainable management of natural resources.

²The CGIAR Fund is a multi-donor, multi-year funding mechanism that provides funding to (i) CRPs through two "Windows"; Window 1 across CRPs as per Consortium decision and Window 2 to donor-specified CRP; and to (ii) donor-specified Centres through Window 3.

the engagement of key partners in a dialogue to increase ownership and common understanding of how goals are to be achieved.

The specific purpose and objectives of CCEE are:

- Provide useful evaluative information to Grain Legumes stakeholders to inform the development of their full proposals for the new CRP funding cycle.
- Inform the Grain Legumes appraisal process by the Consortium, ISPC, and CGIAR Fund Council in particular with respect to
 - Verification of the continued relevance and validity of the CRP and of the planned impact pathways and the likelihood of achieving results.
 - Assessment of progress towards achievements on the major research areas of the CRP since its date of approval.
 - Assessment of the adequacy of systems in place for good organizational performance (governance, partnership, management, planning, monitoring, and accountability).

1.2 Overview

Program design

The CGIAR Research Program on Grain Legumes is a collaborative ten-year research program that focuses on improving eight priority grain legumes crops, chickpea, cowpea, common bean, faba bean, groundnut, lentil, pigeonpea and soybean grown by poor smallholder families and it works in four target regions³ to combat poverty, hunger, malnutrition and environmental degradation. The research program is a partnership among four members of the CGIAR Consortium: ICRISAT as lead center, CIAT, ICARDA and IITA, a CGIAR Challenge Program (Generation), four major national agricultural research systems (EIAR Ethiopia, EMBRAPA-Brazil, GDAR-Turkey and ICAR-India) and the USAID-supported Legume Cooperative Research Support Programs, along with several public and private institutes and organizations, governments, and farmers worldwide.

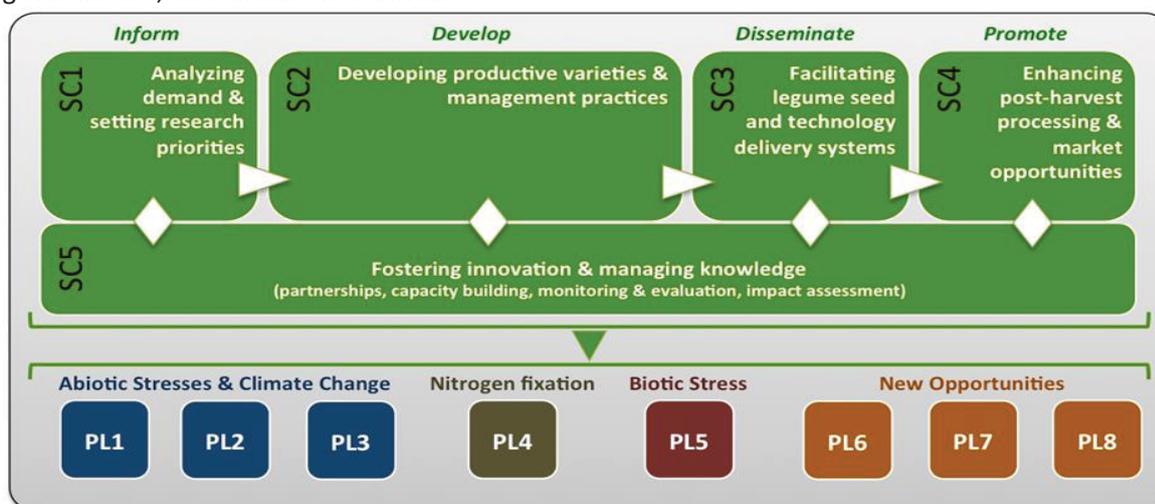


Figure 1: Grain Legumes Strategic Components

³ CWANA (Central and West Asia and North Africa), LAC (Latin America and Caribbean), SSA (Sub Saharan Africa), SSEA (South and South East Asia)

Source: Grain Legumes Proposal, version August 15, 2012

Five Strategic Components (SCs⁴) as shown in Figure 1 contribute to advancing Grain Legumes objectives of improving the production, sales, and consumption of grain legumes. The R4D activities of the SCs support overall development, delivery, performance and impact of eight Grain Legume Product Lines (PLs) implemented through the delivery pipeline represented by the strategic components. **SC2** (Variety breeding and management practices) is a central focus and comparative advantage of Grain Legumes. SC2 is linked with other Strategic Components (SCs) before technology development. **SC1** Demand analysis and Research Priorities, afterwards with **SC3** Seed and Technology Delivery and **SC4** Processing and Marketing while **SC5** Innovation Systems And Knowledge Management, provide support in fostering coordination, communication diverse research and development partners.

The vision of the Grain Legumes is that, in 10 years, this global partnership will have identified and implemented the necessary research for development (R4D) interventions to increase production, sales and consumption of grain legumes that will reduce poverty, hunger, and malnutrition of smallholder farmers, while improving the health of mankind and the sustainability of farming systems. The program partners will leverage their knowledge and research capacities by coordinating strategies with diverse public and private organizations. Through collaborative work, the Grain Legumes will improve the performance of eight priority grain legumes in households, on farms, and in markets.

The Grain Legumes gender strategy recognizes the importance of gender in determining social inequality and describes how the program will address these by deepening understanding of social inequity in target communities and so inform research priority, technology generation, deployment and promotion. In each region gender studies that leverage existing knowledge and/or generate more specific information will be conducted. This knowledge will be used to inform and/or modify design of R4D interventions.

The Product Lines (PLs) are grouped into four key areas of priorities, advance research on high-priority challenges and new opportunities, and are built on the past breeding successes, germplasm collections and recent progress in sciences. While each Product Line is centered on the strengths of the CRP partners in crop improvement, Grain Legumes recognizes that improved cultivars alone cannot overcome limitations on yield and thus, each has been structured to include an entire production package.

Grain Legumes focuses on producing the following five Intermediate Development Outcomes (IDOs) during a period of nine to ten years, through which it will contribute to the CGIAR System-Level Outcomes (SLOs) of increased food security, income, nutrition and environmental sustainability.

- **Food Security:** Improved and stable access to grain legumes by urban and rural poor
- **Income:** Increased and more equitable income from grain legumes by low income value chain actors, especially women

⁴ SC1 Analyzing Demand and setting research priorities
SC2 Developing productive varieties and management practices
SC3 Facilitating legume seed and technology delivery systems
SC4 Enhancing post-harvest processing and market opportunities
SC5 Fostering innovation and managing knowledge

- **Nutrition and Health:** Increased consumption of healthy grain legumes and products by the poor for a more balanced and nutritious diet, especially among nutritionally vulnerable women and children
- **Productivity:** Improved productivity of farming systems, especially among smallholder farmers
- **Environment:** Minimized adverse environmental effects of increased production and intensification of grain legumes

Grain Legumes is in a crucial transition phase regarding the structure and organization of the program moving: from an old structure with 5 Strategic Components (SCs) addressing 8 Product Lines (PLs) classified by crop/trait, into a new organization with 8 Flagship Projects (FPs). The research activities clustered in these 8 FPs are clearly identified and defined, with the corresponding budget to be allocated in 2015 and 2016.

Budget and expenditure

Given the predicted needs and expected benefits from Grain Legumes, the full funding scenario presented in the CRP proposal was 139.1 USD million for the initial three years. Windows 1 and 2 funding in years 2 and 3 was based on a 5 per cent increase over the previous year budget.

For both 2012 and 2013 together, Grain Legumes expenditure was USD 50.659 million against the budget of USD 98.623 million. Thirty six per cent of funding was from Windows 1 and 2 and 38 per cent was bilateral project funding supporting the program. Out of the total budget, 3 per cent has been envisioned to be spent for CRP management. New bilateral allocations to the program during 2014 have strengthened the program further. The budget for bilateral in 2015 is an estimate that is calculated as a 10 per cent increase over 2014.

Grain Legumes officially ends on 30 June, 2015. However, budget and planning for the full year of 2015, and for 2016 has been proposed. R4D activities for 2015 will continue as presented in the original program proposal through 2015, but within the new program structure. Starting 2015, the R4D in the program is expected to ramp up significantly.

Table 1: Cumulative Financial Summary for the period of 1 July to 31 December 2013 (in USD (000's))

Centres	2012 and 2013 approved budget				2012 and 2013 Actual Expenditure			
	Windows 1&2	Windows 3	Bilateral Funding	Total Funding	Windows 1&2	Windows 3	Bilateral Funding	Total Funding
CIAT	5,096	2,388	13,164	20,648	4,317	1,797	9,140	10,467
ICARDA	4,815	1,925	3,717	10,457	4,554	1,003	2,152	5,478
ICRISAT	12,514	18,545	17,041	48,100	10,075	12,871	11,708	22,227
IITA	8,254	4,928	6,236	19,418	8,254	3,275	5,817	12,487
GCP	-	-	-	-	-	-	-	-
Total	30,679	27,786	40,158	98,623	27,200	18,946	28,817	50,659
Percent of total	31	28	41	100	36	25	38	100

Source: Annual Report, CGIAR Research Program on Grain Legumes, 2012 and 2013

Given the need to effectively manage the Grain Legumes across all partners, including a number of non-CGIAR partners, a specific budget of 3 per cent of total program budget for Grain Legumes management is proposed. Currently a small Program Management Unit team of one Senior Program Manager, one

Communication Manager supported by two full time staff is managing both the programs, Dryland Cereals and Grain Legumes together. Program implementation is guided by a Grain Legumes Research Management Committee which includes three non-CGIAR Primary Research Partners. The Stakeholder Advisory Committee which provides independent oversight is made up to a large extent of non-CGIAR partners. The committee meets at least once a year in person, with other meetings conducted virtually as required. The committee will elect its chair from among its membership. Written reports will be provided to the ICRISAT Governing Board, with copies provided to the Steering Committee and RMC following each meeting and as part of the annual evaluation.

2 Evaluation Focus

2.1 Evaluation purpose and clients

The primary purpose of this CCEE is to enhance the contribution that Grain Legumes is likely towards reaching the CGIAR goals and enhancing the productivity and sustainability of grain legumes based farming systems and the livelihoods of poor producers and consumers of grain legumes in developing countries.

The purpose of the CCEE of Grain Legumes is to provide essential evaluative information for decision-making by Program Management and its funders on issues such as extension, expansion and structuring of the program and adjustments in some aspects of the program.

In November 2013, the Fund Council of the CGIAR agreed that all current CRPs should undergo some form of evaluation before the call for the second round of CRPs and full proposal development is initiated. In that context, the evaluation of Grain Legumes will provide information for decisions on the program formulation and selection in the 2nd funding call in 2016. Taking into account the stage of the program and given its nature and timelines for results, the evaluation aims to provide an overview and critical analysis of the relevance of the program and its achievements to date and/or progress towards achievement of intermediate development outcomes or more immediate outcomes.

The CCEE provides both accountability, re-enforcing the principle of mutual accountability and responsibility among program, donors and partners, and learning among the CRP and its stakeholders for improving program relevance and efficiency and the likelihood of sustainable results. It will look at the extent to which Grain Legumes within its mandate is responding to the key aspirations underlying the CGIAR reform related to vision and focus, delivery orientation, synergy through efficient partnerships and accountability.

The main stakeholders of this evaluation are the management of Grain Legumes, all participating Centers, partners associated to the Program, the CGIAR Fund Council, and the Consortium Board.

Stakeholders will be consulted throughout the evaluation through structured interviews, surveys, site visits, and reference group for some of them.

Table 2: CRP Commissioned External Evaluation stakeholders

Stakeholder	Role in the Grain Legumes	Interest in the CCEE
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Primary Clients		
CGIAR Fund Council and Consortium Board	Primary client but no direct participation	Accountability for its role Prioritization of future CGIAR Research Programs Learning for how CGIAR Research Programs can be made more effective
CRP Level		
CRP management	Management of Grain Legumes	Accountability for performance Learning for improvement of the CRP Increasing the likelihood of future financial support
CRP Governance committee	Oversight of Grain Legumes Strategic advice for Grain Legumes	Accountability for Grain Legumes performance and lessons learned about effectiveness of Governance committees
CRP Researchers	Carry out research in line with IDOs	Research Performance
Centre level		
Lead center management	Management of Grain Legumes	Organizational performance Comparative advantage
Lead center board	Fiduciary responsibility Oversight of Grain Legumes	Organizational performance Comparative advantage
Boards and management of participating centers	Oversight of Grain Legumes activities carried out by its centers	Organizational performance Comparative advantage
CGIAR level		
CGIAR Fund Council	Oversight on use of funds for Grain Legumes	Accountability Grain Legumes performance Decision making for resource allocation
Donors of bilateral projects	Funding source	Accountability Grain Legumes performance Decision making for resource allocation
CGIAR Consortium Board	Integrating Grain Legumes research with other CGIAR Research Programs, strategic alignment of CGIAR Research Programs, coordinating between programs	Lessons learned to Increase the effectiveness and relevance of the work of the CGIAR Increase the efficiency and accountability of the CGIAR
Partners		
Research partners	Participate in the design and conduct of Grain Legumes research	Research performance Collaboration mechanisms and capacity development
Development and boundary partners	Targeted stakeholders for implementing change	Relevance of Grain Legumes and its research Research performance

		Collaboration mechanisms and capacity development
Beneficiaries e.g. farmers and policy makers	Targeted clientele for development oriented research	Relevance, effectiveness and impact of Grain Legumes and its research
IEA	Support and quality assurance	Ensuring accountability of the CGIAR Research Programs Learning from individual CGIAR Research Programs Generating learning across CGIAR Research Programs

2.2 Evaluation scope

The CCEE will cover all research activities of Grain Legumes and related processes, thus including activities funded by Window 1, 2 and 3 as well as bilateral funded projects. In the new CGIAR framework of programmatic approach, Grain Legumes takes on a major component of CGIAR commodity research on grain legumes breeding and to an extent dryland systems bringing together the long-standing grain legumes research of ICRISAT and other partner centers in an expanded global partnership. Thus in assessing research performance, particular emphasis will be given to grain legumes research pipeline where results maturing to outcomes and impact can be expected.

The scope of the Grain Legumes CCEE is quite broad covering both past research (**this includes research which contributes to current activities within the program**) for the criteria of effectiveness and impact, current program for relevance, efficiency and quality of science. Sustainability can be assessed both retrospectively and prospectively. The dimension of this CCEE that will cover past, “transferred” research is summative and will determine to which extent results at outcome and impact level were achieved.

The CCEE is being undertaken at a time when the Grain Legumes has finished setting up its management and governance structure and is completing the design of its program in accordance of guidance from the CGIAR Consortium Office and within the context of the SRF. This includes defining program theories and impact pathways for the key components of the Grain Legumes, description of the Intermediate Development Outcomes, target achievement goals for the medium-term (about 10 year time span), agro-ecologies and beneficiary groups for them and indicators for progress and results.

As the Grain Legumes was formally launched only in mid-2012, the dimension of this review that will focus on the new programmatic approach is a formative and process-oriented and undertaken to enhance the relevance and efficiency of Grain Legumes and the likelihood of its effectiveness in contributing to the CGIAR SRF vision, SLOs and outcomes as defined in the results framework.

The evaluation will not only examine the quality and relevance of Grain Legumes research itself but its institutional context and relation to other CRPs. This will include examining the effectiveness and efficiency of the institutional structure and management systems of the CRP and the extent to which it

incentives among scientists and partners supports high quality research oriented towards tangible outcomes.

The strategic issues and review questions are structured around two dimensions: Research/programmatic performance and organizational performance. The CCEE Team is tasked to refine and prioritize them during the inception phase, in consultation with the stakeholders.

2.3 Evaluation purpose and clients

Research/Programmatic performance

The Grain Legumes evaluation will have its focus on two time frames:

- the results – outputs and outcomes – generated from research prior to establishment of Grain Legumes that contribute to current activities within Grain Legumes and filling the results pipeline also into the future for some time; and
- the two year period during which Grain Legumes has been set up as a multi-partner CGIAR Research Program with newly defined program structure, targets and impact pathways.

The CCEE of programmatic performance will address all the evaluation criteria presented in chapter 3, Evaluation criteria and questions.

The CCEE will look at the process, science quality and analytical rigor in the development of impact pathways including the plausibility of linkages between outputs and outcomes to the IDOs and beyond towards the SLOs and the assumptions including those that relate to external factors that are crucial for the planned outcomes and impact. It will look at the validity of the assumptions underlying the program theory for impact and the research hypotheses related to those assumptions.

The CCEE will examine the extent to which the challenges for linking research outputs to development outcomes and scaling out promising results are addressed in the program. It will take into account the extent to which gender analysis is incorporated into research design and targeting, dissemination strategies and analysis of results. Partnership approaches, capacity strengthening and communication strategies will be examined regarding their efficiency for overcoming constraints to adoption and sustainability of results and enhancing the likelihood of impact.

Organizational performance

The review of organizational performance will primarily pertain to aspects of efficiency and effectiveness with focus on program design, structure and processes from the organizational and management point of view.

Areas of emphasis include the changes and value-added brought about by the program structure relative to the previous programs, including in organizational effectiveness, management structure, system, partnership management and transaction costs; resource allocation and fund distribution between institutions and program components, and alignment of different funding with program objectives; adherence to legal arrangements, including the appropriateness of IP management and System-level obligations; and organizational learning for improving likely efficiency and effectiveness.

3 CCEE Criteria and Questions

3.1 Evaluation criteria

The CCEE for Grain Legumes will address the six evaluation criteria; relevance, efficiency, effectiveness, impact, sustainability and quality of science through a set of evaluation questions, which will be refined during the inception phase. A tentative list of evaluation questions is given below. These will be refined and further elaborated during the inception phase by the Evaluation Team in consultation with Director's Office and relevant stakeholders.

3.2 CCEE Questions

Relevance

Coherence

- Is the Grain Legumes strategically coherent and consistent with the main goals and System Level Outcomes presented in the CGIAR's Strategy and Results Framework?
- Rationale for and coherence between program Flagship Projects?
- Use of core-type funding (Windows 1 and 2) for leveraging bilateral funding and alignment of bilateral projects within program strategy

Comparative advantage

- What is the comparative advantage of Grain Legumes in terms of the CGIAR's mandate of delivering international public goods relative to other international initiatives and research efforts, including the private sector; and partner country research institutions or development agencies .
- In the different areas of research (Flagship Projects, Product Lines/Clusters of Activity) does Grain Legumes play an appropriate role as global leader, facilitator or user of research compared to partners and other research suppliers?

Program design

- Does the program target an appropriate set of Intermediate Development Outcomes (IDOs) and do the activities (in the Grain Legumes Product Lines/Clusters of Activities) cover and/or make reasonable assumptions about the results of other actors' work for achievement of program objectives?
- Do the impact pathways logically link the principal clusters of activities to the IDOs and are the IDO linked to the SLOs through plausible theories that take into account trade-offs between multiple objectives?
- Have constraints to outcomes and impacts been considered in the program design, for example through assessment of the assumptions and risks in reliance on policies, actions of national institutions, capacity and partnerships?
- Have the Grain Legumes research activities been adequately prioritized in line with resource availability and partner needs?

Efficiency

- Are the Grain Legumes institutional arrangements and management and governance mechanisms efficient and effective?

- To what extent have the reformed CGIAR organizational structures and processes increased (or decreased) efficiency and successful program implementation?
- Is the level of collaboration and coordination with other CRPs appropriate and efficient for reaching maximum synergies and enhancing partner capacity?
- Are the facilities and services used efficiently and are there areas where efficiency could be improved, for instance through outsourcing?
- Is the monitoring and evaluation system adequate and efficient for recording and enhancing Grain Legumes processes, progress, and achievements?

Quality of science

- Does the research design, problem setting and choice of approaches reflect high quality and up to date scientific thinking, state of the art knowledge and innovative in all areas of research?
- Are the internal processes and conditions, including research staff and leadership quality, adequate for assuring science quality?
- Are the research outputs, such as publications and genetic material, of high quality?
- Are negative as well as positive findings documented and disseminated?

Effectiveness, impact and sustainability

- To what extent have planned outputs and outcomes been achieved or are likely to be achieved?
- Have there been sufficient efforts to document outcomes and impact from past research with reasonable coverage over research areas?
- What can be concluded from the findings of ex post studies and other evidence, for instance in terms of magnitude of impact in different geographical regions relevant for Grain Legumes and equity of benefits; the sustainability of past benefits and on the extent to which positive outcomes demonstrated at pilot or small-scale level likely to be sustained and out-scalable?
- Have adequate constraint analyses and lessons from ex post studies informed program design for enhancing the likelihood of impact?
- What are the prospects for sustaining financing, for example, for long-term research programs and key partnerships?

3.3 Cross cutting issues

Gender

The CCEE of gender pertains particularly to:

Relevance

- Has gender been adequately considered in research design in terms of relevance to and effect on women?

Effectiveness and impact

- Has gender been adequately considered in the impact pathway analysis, in terms of the differential roles of women and men along the impact pathway, generating equitable benefits for both women and men and enhancing the overall likelihood enhancing the livelihoods of women and also the nutritional status of women and children?

Capacity building

The CCEE of capacity building will address particularly

Relevance:

- To what extent do capacity building efforts address partners' needs?
- Does capacity building target women as well as men adequately and their differential needs taken into account?

Effectiveness and sustainability

- To what extent are capacity issues taken into account in the impact pathway analysis?
- Are capacity building efforts integrated with the research mandate and delivery of the Grain Legumes?
- Are the capacity building efforts and incentives among partners adequate for enhancing the long-term sustainability of program effects?
- Are there demonstrable outputs and outcomes of capacity building?

Partnerships

- The CCEE will consider the partnerships among the implementing centers (ICRISAT, CIAT, IITA and ICARDA), linkages with other CRPs and partnerships with both research and development partners as well as boundary partners upon whom the development outcomes depend.

Relevance:

- To what extent are the partnerships relevant and cover the relevant partner groups to achieve program objectives?

Efficiency and effectiveness:

- Are the partnerships chosen and managed so as to maximize efficiency for results?
- Whether such a mega-program is better than the sum of its parts---that is, could the same research have been done just as well or better if the four centers had worked independently?
- What are some outputs/outcomes that demonstrate positive synergy among the various partners?

4 CCEE approach and methodologies

4.1 Approach and Methodologies

Given the history of Grain Legumes research in the CGIAR on which the program builds on one hand and the early phase of the implementation of the program on the other hand, the CCEE will combine both **summative** and accountability oriented and **formative and forward-looking** components in its approach. The former will look at achievements regarding results so far, particularly from research that continues from the past. It will draw, to the extent possible, on existing studies, adoption and impact assessments, records and other data for conducting meta-analysis of available evaluative information and estimating the achievements from past research. This approach will be complemented by other means such gathering perception information during site visits and stakeholder interviews.

The forward-looking component will review inter alia, program design and processes, progress made so far towards results, gender mainstreaming, governance and partnership aspects as well as other innovative modalities of work introduced with the Reform. Approaches will be selected that use, for instance, benchmarking with other comparable programs, lessons and good practices in research and management established elsewhere, and information from primary contacts.

The CCEE process will ensure that in developing findings, conclusions and recommendations there is broad consultation among stakeholders for capturing a broadly representative range of viewpoints. The evaluation team should ensure that the findings are informed by evidence. This implies that all perceptions, hypotheses and assertions obtained in interviews will be validated through secondary filtering, cross checks by a triangulation of sources, methods, data, and theories. The main phases of the evaluation are described below.

4.2 CCEE Phases

Preparatory phase

During the Preparatory Phase the Director's Office, Grain Legumes, in consultation with stakeholders will review key documents, carry out a preliminary mapping of the Grain Legumes activities, and define the scope and issues surrounding the CCEE.

The Director's Office will carry out the following tasks:

- Finalize the Terms of Reference
- Compile information on research projects under Grain Legumes and existing evaluation material and other key documents pertaining to Grain Legumes
- Set up a Reference Group for the CCEE
- Select the consultancy firm for CCEE

Facilitation by the Director's Office, Grain Legumes: The CCEE team will be supported by Director's Office in the following ways:

- Access to relevant project documents and space at Director's Office, Grain Legumes
- Involvement of Director's Office officials providing orientation and background to the CCEE Team to facilitate Interviews with a variety of stakeholders both within and outside the CGIAR for obtaining qualitative views, Surveys among Grain Legumes researchers, partners and other stakeholders and field visits.

Inception phase

The inception phase is the responsibility of the CCEE Team (external consultancy firm contracted for CCEE) with support from the Director's Office. The CCEE's scope, focus, approaches and methods, and the review questions in detail will be defined during the inception phase. The tasks during the inception phase include:

- Review and synthesis of monitoring information pertaining to Grain Legumes that form basis for CCEE plan as presented in the inception report, including: (i) information derived from the CRP's monitoring and evaluation system; (ii) annual reports; (ii) management related materials
- Development of an analytical framework for the assessment of Grain Legumes research
- Refinement of the CCEE questions and an evaluation matrix that identify means of addressing the questions, including an outline of the data collection methods/instruments

- Detailed specification of the CCEE timetable which includes plan for site visits
- Indicative CCEE report outline and division of roles and responsibilities among the team
- Preliminary list of strategic areas of importance prioritized for emphasis in the course of the inquiry phase

These elements will be drawn together in a CCEE inception report which, once agreed between the team and the Director's Office will represent the contractual basis for the team's work. Subject to the agreement of the Oversight Committee/Director, Grain Legumes, adjustments can be made in a transparent fashion during evaluation implementation in the light of experience.

Conduct of CCEE

The CCEE will build on the outputs of the inception phase and proceed with the inquiry, by acquiring more information and data from documents and relevant stakeholders, to deepen the analysis. The methods and approaches that are refined in the inception report, may include:

- Interviews with a variety of stakeholders both within and outside the CGIAR for obtaining qualitative views on, for instance, relevance and quality of research, likely effectiveness and aspects of partnership management.
- Surveys among Grain Legumes researchers, partners and other stakeholders for gauging general perceptions and satisfaction with program relevance, progress and achievements.
- Site/Field visits to CIAT, ICARDA, ICRISAT, IITA research sites to generate information of program activities and partner relations. Use will be made of management and research meetings that allow engagement with a range of stakeholders and selected partners
- Case studies of selected research areas or projects
- CCEE findings and conclusions are to consider actual resources available to Grain Legumes and state what recommendations are resource-neutral and what recommendations imply a greater/smaller budget.

Dissemination phase

Grain Legumes Management will prepare a response to the evaluation for the consideration of the Consortium Board. The management response will be specific in its response to evaluation recommendations as to the extent to which it accepts the recommendation and reasons for partial acceptance and non-acceptance, and for those recommendations which it accepts partially or in full, what follow-up action it intends to take, in what time-frame. The consolidated response of Grain Legumes management and the Consortium Board will be a public document made available together with the evaluation report for the consideration of the CGIAR Fund Council.

Several events will be organized and several means considered to disseminate the evaluation results. A dissemination strategy will be developed during the inception phase.

4.3 Quality Assurance

In order to ensure technical rigor to the Review, the following quality assurance mechanisms will be implemented during the evaluation exercise.

The Director's Office, will conduct quality control throughout the evaluation process. This quality control will in no respect be allowed to impinge on the full independence of the evaluation team in conduct of the evaluation and in deriving their findings and recommendations but will support the team in ensuring that the conduct of the evaluation, validation, and its approaches, methods and deliverables are in line with the Evaluation policy and Standards. IEA will provide feed-back at different milestones, including terms of reference, team recruitment, inception report and evaluation report. The IEA Quality Assurance Advisory Panel (QAAP) will independently provide a quality statement on the evaluation at its completion.

Any interim reports as well as the draft CCEE report are circulated for comments and discussed with stakeholders. Presentations of early findings will be made to individuals/experts in subject matter areas of Grain Legumes and groups of stakeholders for evaluators to cross check facts and quality of the evaluation report in terms of substance, including the technical, contextual and financial soundness of the evaluation findings, conclusions, perceptions and to discuss potentially sensitive issues.

4.4 Main limitations and constraints of CCEE

Due to the limited time that the Grain Legumes has been in operation, the CCEE has only a relatively short time for assessing program performance and achievements to-date. The CCEE ability to assess achievements and impact from past research relevant to the current program may be limited by the lack of evaluative information across program areas. The size and geographic spread of the Grain Legume may limit the scope of the evaluation which will need to select suitable methods to assess the program Grain Legumes through, for example, representative sampling.

5 Organization and Timing of the CCEE

5.1 CCEE team qualifications

The CCEE team leader will have suitable background given the CGIAR's mandate, Grain Legumes and solid experience in leading evaluations of complex programs. The team leader will be supported by a team of experts who will between them have extensive and proven experience at international level, working for research or development agencies, on issues, programs and policies related to crop production and farming systems in developing country context. They will also have demonstrated knowledge of the main global institutions involved in grain legumes improvement.

The team is likely to include 3-4 experts, in addition to the team leader. Among its members, the team will have an excellent understanding and knowledge of the research issues and international debate on following areas:

- crop production, such as biotechnology, germplasm conservation and enhancement, through both molecular and conventional breeding;
- natural resource and crop management in cropping systems, seed systems that include grain legumes;
- climate change and sustainability of Grain Legumes systems;
- factors influencing Grain Legumes research strategies and impact;

- consumer perspectives; and
- policy environment relevant to Grain Legumes production systems.

In addition the team will have competence to assess:

- program governance, organization and management, including financial management;
- sociological and gender issues;
- capacity building issues;
- institutional and policy analysis in the context of development;
- research planning, methods and management;
- intellectual property issues; and
- communication and partnership

Table 3: The desired qualification of the CCEE team members

Position	Qualification
Team Leader	An Evaluation Expert with the knowledge of agriculture research or a Senior Research Manager and have 10-15 years of experience in conducting studies / research work at international level specifically in the semi-arid tropics
Mid-level Consultant	Post graduate in Agricultural Sciences/ Agricultural Economics/Rural Development or a Research Manager and having 5-10 years of experience in conducting studies/ research work in the areas of agriculture development projects. The experience in agriculture commodity marketing, seed systems, value chain studies and other relevant areas including gender issues is desirable.
Junior Consultant/Research or Data analyst	MCA/ MA (Economics)/ M Com/ B Tech (Computer Science) with 3-4 years of experience in organizing stakeholders' consultations, supervising field data collection, data analysis and generating reports. Proficiency with MS Office Word/Excel/Power Point/Access// SPSS/ STATA/ SAS and some field survey experience would be useful.

The team composition (one Team Leader, 1-2 mid-level Consultants and one Junior Consultant) will be in place throughout the duration of the assignment.

5.2 CCEE governance/roles and responsibilities

The CCEE for Grain Legumes will be conducted by a team of independent external experts supplied by a selected consultancy firm. The team leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards. The team is responsible for submitting the deliverables as outlined in more detail below.

The **Director's Office** for Grain Legumes will be responsible for planning, initial designing, initiating, and managing the evaluation. The IEA will guide the Director's Office in quality control of the CCEE process and outputs, and dissemination of the results. The Director's Office will take an active role in the preparatory phase of the evaluation by collecting background data and information and by carrying out preliminary analysis on the CGIAR Research Program on Grain Legumes. A program manager supported

by a communication manager and administrative staff will provide support to the team throughout the CCEE.

A **CCEE Oversight Committee**, comprising either the existing Governance body or an ad hoc panel representative of participation in CRP with representation from management, governance and if possible external stakeholders will be set-up to work with the Director's Office to ensure good communication with, learning by, and appropriate accountability to primary evaluation clients and key stakeholders, while preserving the independence of evaluators. The Oversight Committee, composed of Grain Legumes stakeholders, can be thought of as a 'sounding board' and it will give views and inputs at key decision stages in the CCEE design and implementation process, such as finalizing the TOR, the inception report and evaluation report.

5.3 Timeline

The Grain Legumes CCEE is scheduled to take place between January and July 2015.

Table 4: Proposed timeline for CCEE

Phase	Period	Main Outputs	Responsibility
Preparatory Phase	August-December 2014	Final ToR Recruitment of Consultancy Firm for CCEE	Director's Office, Grain Legumes
Inception Phase	January 2015	Inception Report	CCEE Team
Inquiry Phase	February – July 2015	Various reports and analysis products as defined in inception report	CCEE Team
Reporting Phase			
Drafting of Report	July 2015	Draft CCEE Report	CCEE Team
Presentation of Preliminary findings	August 2015	Presentation of preliminary findings Feedback from main stakeholders	CCEE Team
Final CCEE Report	September 2015	Final CCEE Report	CCEE Team
Management response	Mid October 2015	Management Response	Grain Legumes Management
Dissemination Phase	October-November 2015	Communication Products	Director's Office-Grain Legumes IEA CCEE Team Leader CRP Management

5.4 Deliverables and dissemination of findings

The **Inception Report** - builds on the original terms of reference for the CCEE, outlines the team's preliminary findings, as well as the proposed approach to the main phase of the CCEE. It constitutes the guide for conducting the CCEE, by a) A brief description of the CRP being evaluated including an analysis of the external and internal context within which the evaluation is conducted, b) Detailed description of the evaluation approach to be used, data collection methods and tools and why they were chosen, a sampling plan if appropriate, and resource requirements within the approved budget, c) Detailed plan on how each evaluation criterion is being addressed and prioritized list of main evaluation questions and how evidence is to be assembled on each question. This is summarized in an evaluation matrix, d) An updated table of deliverables and dates and e) An explanation of any changes made from the original TOR, if these are judged necessary.

The **Evaluation Report** - the main output of this CCEE - will describe findings, conclusions, and recommendations, based on the evidence collected in the framework of the CCEE questions defined in the Inception Report. This deliverable includes draft report and final report after consideration of the comments on the draft report. The recommendations will be evidence-based, relevant, focused, clearly formulated and actionable. They will be prioritized and addressed to the different stakeholders responsible for their implementation. The main findings and recommendations will be summarized in an executive summary.

Presentations will be prepared by the Team Leader for disseminating the Report to targeted audiences. The exact forms of these presentations will be agreed during the inception phase.

Adequate consultations with Grain Legumes stakeholders will be ensured throughout the process, with debriefings on key findings held at various stages of the evaluation. The final report will be presented to key CGIAR stakeholders. Following this, the IEA will interact with the management of Grain Legumes during the preparation of the management response.

Dissemination as explained in Chapter 4.3 (Dissemination phase).