

## 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])<sup>1</sup>, 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 Centres and their partners through 15 multi-partner CGIAR Research Programs (CRPs). These programs are funded through a pooled funding mechanism in the Fund<sup>2</sup> and bilateral funding to Centres.

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 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 evaluation, the IEA committed to providing a framework and methodological support to the CGIAR Research Programs 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 these five CGIAR Research Programs (the newest of the 15) 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. they should be completed in early 2016.

At their meeting on June 6, 2014, the CGIAR Research Program 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 that they considered would involve more work overall but without guaranteeing the high quality of review product that will be required.

The ICRISAT led CGIAR Research Program on Dryland Cereals (Dryland Cereals) will undertake the CCEE during (January to June/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 the engagement of key partners in a dialogue to increase ownership and common understanding of how goals are to be achieved.

<sup>1</sup> Defined as four System-Level Outcomes: reduction of poverty, improvement of food security, increasing nutrition and health; and more sustainable management of natural resources.

<sup>2</sup> The 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 specific purpose and objectives of CCEE are:

- Provide useful evaluative information to Dryland Cereals stakeholders to inform the development of their full proposals for the new CRP funding cycle.
- Inform the Dryland Cereals 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).

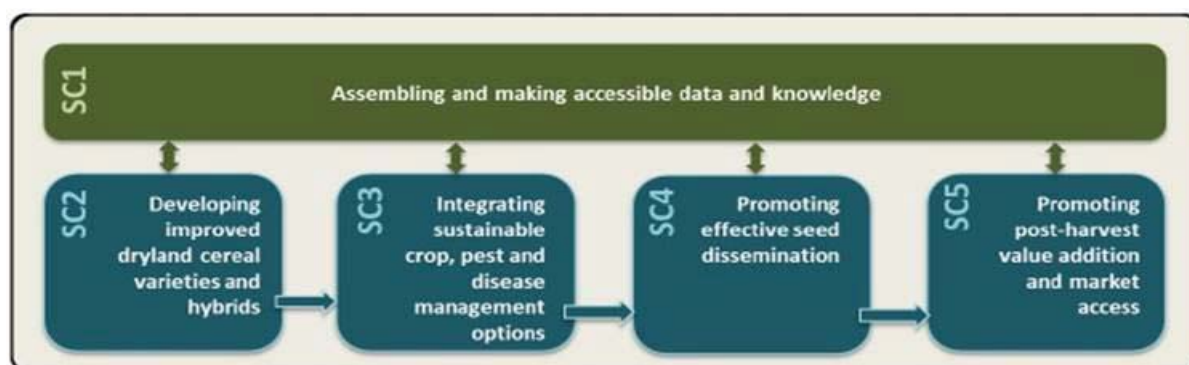
## 1.2 Overview

### Program design

The CGIAR Research Program on Dryland Cereals, which officially started in July 2012, contributes to the improvement of livelihoods of smallholder farmers in the harsh dryland regions of Africa and Asia, through the development and deployment of solutions for crop improvement, crop management, seed systems, post-harvest value and input-and output-markets for dryland cereal crops including barley, finger millet, pearl millet and sorghum. These are highly resilient, climate-hardy, micronutrient-dense crops which are the mainstay of agricultural systems in the dryland regions of Africa and Asia, where they are primarily used for food, feed and fodder.

The program is a global partnership between two members of the CGIAR Consortium, ICRISAT as lead centre and ICARDA, along with a number of public and private institutes and organizations, governments and farmer bodies. Dryland Cereals will identify and implement necessary R4D interventions to strengthen the value chains of the dryland cereal crops in the target regions from end to end, utilizing assembled gender-disaggregated baseline information, demand analysis, gap/constraint analysis, priority setting, and foresight planning and technology generation.

Dryland Cereals, as per its original proposal, was structured around the development and delivery of seven innovative 'game changing' Product Lines. Each Product Line has been developed based on a critical analysis of the major constraints in the targeted regions, including the specific needs of subsistence and market-oriented farmers growing the crop. While each Product Line is centred on the strengths of the Dryland Cereals partners in crop improvement, the programme recognizes that improved cultivars alone cannot overcome limitations on yield and thus, each has been structured to include an entire production package.



**Figure 1: Dryland Cereals Strategic Components**

Source: Dryland Cereals Proposal, version August 15, 2012

Through the five strategic components (figure-1), Dryland Cereals 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.

1. Improved productivity of Dryland Cereals in smallholder farming systems in Africa and Asia
2. Increased and stable access to dryland cereal food, feed and fodder by the poor, especially rural women and children
3. Increased consumption of nutritious Dryland Cereals by the poor, especially among nutritionally vulnerable women and children
4. Increased and more equitable income from marketing dryland cereal grain, fodder and products by low income value chain actors, especially smallholder women farmers
5. Increased capacity to adapt to environmental variability and longer term changes in low income communities in Africa and Asia

Dryland Cereals is in a crucial transition phase moving from a structure of seven Product Lines into one with five new Flagship Projects (FPs) and seven Clusters of Activities. The new structure is essentially a 'flipping around' of the previous seven Product Lines and five Strategic Components.

Dryland Cereals recognizes that crop improvement, management and post-harvest interventions require careful consideration and incorporation of the preferences and constraints of women farmers dependent on these crops. The Gender Research Strategy of the program, proposed and approved in 2013, addresses this requirement. During the year 2013, even as implementation of R4D aligned better to the formulated research outputs and outcomes of the approved program proposal, gender-relevant R4D started to permeate into planning and implementation of the program. Strategic gender studies were completed in the four target regions, namely, South Asia, ESA, WCA and North Africa in 2013, and a Senior Scientist for Gender Research was appointed in 2014.

### Budget and expenditure

The budget allocation for Dryland Cereals from Windows 1, 2, and 3 (bilateral) during 2012 to 2015, is presented below (Table: 1), with actuals shown in Figure-1 for Windows 1 and 2 over the period from 2012 to 2014. New bilateral allocations to the program during 2014 have strengthened the program

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further. The budget for bilateral in 2015 is an estimate that is calculated as a 10 per cent increase over 2014.

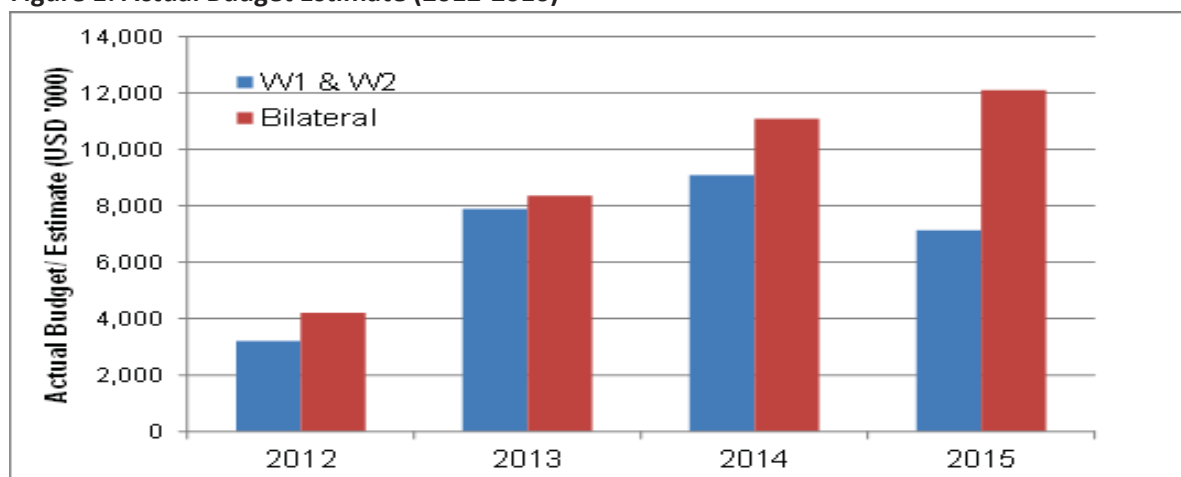
The R4D in the program is expected to ramp up significantly, starting 2015, in the four flagships outside of Crop Improvement due to the restructuring, associated engagement of subject-matter experts in the program, and intensified execution of urgent and much-needed research in areas of the delivery pipeline outside crop improvement.

**Table 1: Overall Budget Summary (USD '000)**

Year	W1 & W2	Bilateral	TOTAL
2012	3,215	4,216	7,431
2013	7,890	8,359	16,249
2014	9,095	11,093	20,188

Source: Dryland Cereals Extension Proposal, 2015-16, 26 April 2014

**Figure 1: Actual Budget Estimate (2012-2016)**



Source: Dryland Cereals Extension Proposal 2015-16, April 2014

Each of the Flagships will invest in gender-relevant R4D interventions at no less than 10 per cent of the total Flagship budget. Additionally, an overarching budget for strategic gender research is included at \$350,000 per year.

## 2. Evaluation Focus

### 2.1 CCEE purpose and clients

The primary purpose of this CCEE is to provide input towards continued enhancement of the program, thus enabling its capacity to deliver efficiently and effectively on its Intermediate Development Outcomes and contribute to the CGIAR System Level Outcomes. The CCEE will 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.

The CCEE provides accountability, re-enforcing the principle of mutual accountability and responsibility among program donors and partners. It also provides learning among the Dryland Cereals implementing partners and its stakeholders for improving program relevance and efficiency and the likelihood of sustainable results. It will look at the extent to which Dryland Cereals 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 Review are the management of Dryland Cereals, all participating Centres, partners associated to the Program, the CGIAR Fund Council, and the Consortium Board.

Stakeholders will be consulted throughout the CCEE through structured interviews, surveys, site visits, and Oversight Committee for some of them.

**Table 2: CRP Commissioned External Evaluation stakeholders**

<i>Stakeholder</i>	<i>Role in the Dryland Cereals</i>	<i>Interest in the CCEE</i>
<b>Primary Clients</b>		
CGIAR Fund Council and Consortium Board	Primary clients 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
<b>CRP Level</b>		
CRP Management	Management of Dryland Cereals	Accountability for performance Learning for improvement of the Dryland Cereals program Increasing the likelihood of future financial support
CRP Governance committee	Oversight of Dryland Cereals Strategic advice for Program	Accountability for Dryland Cereals performance and lessons learned about effectiveness of Governance committees
CRP Researchers	Carry out research in line with IDOs	Research Performance
<b>Centre level</b>		
Lead center Management	Management of Dryland Cereals	Organizational performance Comparative advantage
Lead center Board	Fiduciary responsibility Oversight of Dryland Cereals	Organizational performance Comparative advantage
Boards and Management of participating centers	Oversight of Dryland Cereals activities carried out by its centers	Organizational performance Comparative advantage
<b>CGIAR level</b>		
CGIAR Fund Council	Oversight on use of funds for Dryland Cereals	Accountability Dryland Cereals performance Decision making for resource allocation

Donors of bilateral projects	Funding source	Accountability Dryland Cereals performance Decision making for resource allocation
CGIAR Consortium Board	Integrating Dryland Cereals research with other CGIAR Research Programs, strategic alignment of these programs, coordinating between CGIAR Research 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 Dryland Cereals research	Research performance Collaboration mechanisms and capacity development
Development and boundary partners	Targeted stakeholders for implementing change	Relevance of Dryland Cereals 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 Dryland Cereals and its research
IEA	Support and quality assurance	Ensuring accountability of the CGIAR Research Programs Learning from individual Research Program Generating learning across CGIAR Research Programs

## 2.2 CCEE Scope

The CCEE will cover all research activities of Dryland Cereals and related projects, thus including activities funded by Window 1, 2 and 3 (bilateral projects). In the new CGIAR framework of programmatic approach, Dryland Cereals takes on a major component of CGIAR commodity research on dryland cereals breeding and dryland cereals systems bringing together the long-standing dryland cereals research of ICRISAT and ICARDA in an expanded global partnership. Thus in assessing research performance, particular emphasis will be given to dryland cereals research pipeline where results maturing to outcomes and impact can be expected.

The scope of the CCEE for Dryland Cereals is quite broad covering both **past transferred research<sup>3</sup> that has continued relevance to the outcomes of the program** for its effectiveness and impact, and the current program for its relevance, efficiency and quality of science. Sustainability can be assessed both retrospectively and prospectively. The dimension of this review exercise that will cover past,

<sup>3</sup> For example the up- and out-scaling of varieties bred as a result of work prior to the inception of the CRP.

“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 Dryland Cereals has just finished setting up its management and governance structure and is completing the design of its program through the extension phase, in accordance with the guidance from the CGIAR Consortium Office and within the context of the SRF.

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

The CCEE will not only examine the quality and relevance of the programme 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 Dryland Cereals and the extent to which it incentivises scientists and partners for high-quality research oriented towards tangible outcomes.

The strategic issues and CCEE 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 Dryland Cereals CRP Commissioned External Evaluation will have its focus on two time frames:

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

The evaluation of programmatic performance will address all the review criteria presented under the sub heading, Evaluation Criteria and Questions.

The CCEE will look at the process 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 Dryland Cereals program design, structure and processes from the organizational and management point of view.

Areas of emphasis include the changes and value-addition brought about by the Dryland Cereals structure relative to the previous programs, including 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 of Dryland Cereals 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 CCEE Team in consultation with the CRP Director, Program Manager and relevant stakeholders.

### 3.2 CCEE Questions

#### Relevance

##### *Coherence*

- Is Dryland Cereals 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 CRP 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 Dryland Cereals in terms of the CGIAR's mandate of delivering international public goods; 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 Dryland Cereals 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 program 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 CRP research activities been adequately prioritized in line with resource availability and partner needs?

#### Efficiency

- Are the Dryland Cereals 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 Dryland Cereals' 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 implementation?
- 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 Dryland Cereals 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 review 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 and nutrition of women and children?

#### Capacity building

The review 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 are 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 program?
- 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 centres (ICRISAT and ICARDA), linkages with other CRPs, and partnerships with 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 two centres 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 Dryland Cereals 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 **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 as 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 CRP Director's Office, in consultation with stakeholders, will review key documents, carry out a preliminary mapping of the program activities, and define the scope and issues surrounding the CCEE.

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

- Finalize the Terms of Reference
- Compile information on research projects under Dryland Cereals and existing evaluation material and other key documents pertaining to Dryland Cereals
- Set up an Oversight Committee for the CCEE
- Select and contract the Consultancy Firm for CCEE

Facilitation by the CRP Director's Office,

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, Dryland Cereals

- Involvement of Director's office staff 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 Dryland Cereals 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 Dryland Cereals that form the basis for the CCEE plan as presented in the inception report, including: (i) information derived from the program's monitoring and evaluation system; (ii) annual reports; (ii) management related materials
- Development of an analytical framework for the assessment of Dryland Cereals 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 CRP Director's Office will represent the contractual basis for the team's work. Subject to the agreement of the Steering Committee/Director, Dryland Cereals, 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 Dryland Cereals researchers, partners and other stakeholders for gauging general perceptions and satisfaction with program relevance, progress and achievements.
- Site/Field visits to ICRISAT and ICARDA 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
- Case studies of selected research areas or projects.
- CCEE findings and conclusions are to consider actual resources available to Dryland Cereals and state what recommendations are resource-neutral and what recommendations imply a greater/smaller budget

### **Dissemination phase**

CRP-Dryland Cereals 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 Dryland Cereals 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:

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 will be circulated for comments and discussed with stakeholders. Presentations of early findings will be made to individuals/experts in subject matter areas of Dryland Cereals and groups of stakeholders to cross check facts and quality of the evaluation report in terms of substance, including the technical, contextual and financial soundness of the findings, conclusions and perceptions, and to discuss potentially sensitive issues.

### **4.4. Main limitations and constraints of CCEE**

Due to the limited time that the Dryland Cereals has been in operation, the CCEE has only a relatively short time for assessing program performance and achievements to-date. The evaluation's 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 Dryland Cereals may limit the scope of the evaluation which will need to select suitable methods to assess Dryland Cereals 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, Dryland Cereals 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 dryland cereals improvement.

Furthermore, it is imperative that the team leader and team members meet the eligibility requirements as established by the Dryland Cereals program. 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 the following areas:

- crop production, such as biotechnology, germplasm conservation and enhancement;
- contribution of dryland cereals to micronutrient rich diet and diet diversity
- role of resilient and climate-hardy dryland cereal crops in climate-change adaptation
- natural resource and crop management in dryland cereals cropping and farming systems;
- factors influencing Dryland Cereals research strategies and impact;
- consumer perspectives; and
- policy environment relevant to dryland cereals 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
- communication and partnership

**Table 3: The desired qualification of the CCEE team members**

Position	Qualification
Team Leader	An Evaluation Expert with knowledge of agriculture research or a Senior Research Manager with 10-20 years of experience in conducting studies / research work at international level specifically in the semiarid tropics
Mid-level consultant	Post graduate in Agricultural Sciences/ Agricultural Economics/Rural Development or a Research Manager having 5-10 years of experience in conducting studies/ research work in the areas of agriculture development projects. The experience in agriculture commodity marketing, value chain studies, seed systems, 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 both programs Dryland Cereals and 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 CRP Director's Office will be responsible for planning, initial designing, initiating, and managing the evaluation. The IEA will guide the CRP Director's Office in quality control of the CCEE process and outputs, and dissemination of the results. The CRP 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 Dryland Cereals program. A Program Manager supported by a Communication Manager and Administrative Officer 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.

## 5.3. Timeline

The Dryland Cereals CCEE is scheduled to take place between November 2014 and May 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, CRP-Dryland Cereals
Inception Phase	January 2015	Inception Report	CCEE Team
Inquiry Phase	February -July – June2015	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	CRP Management

Dissemination Phase	October-November 2015	Communication Products	CRP Office IEA CCEE Team Leader CRP Management	Director's
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#### 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 providing 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, and 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 e) an explanation of any changes made from the original TOR, if these are judged necessary.

The **CCEE 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 Dryland Cereals 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 Dryland Cereals during the preparation of the management response.

**Dissemination** as explained in Chapter 4.3 CCEE Phases (Dissemination phase)