Recapping 2016 reporting timeline and expectations for 2017

Purpose: To recap what the established arrangements are for 2016 program performance reporting for the last year of the 2010-2016 CRPs, and outline roles and responsibilities in terms of System-wide format and periodicity for reporting under the new Portfolio, for subsequent discussion and approval by the System Council.

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Contents

1. Suggested actions at SMB5

2. 2016 reporting:
   - 2a. Products and sequencing
   - 2b. Overall schedule for 2016 reporting, including Board engagement

3. Expectations on reporting for 2017 onwards:
   - 3a. From the Framework and Charter
   - 3b. From the Funding Agreements

4. Strategically planning reporting for 2017 onwards:
   - 4a. Current steps
   - 4b. Seeking inputs from Board on format and timing

1. Suggested SMB5 Action(s)

1. To take note of schedules for production of key reports for 2016 and likely SMB requirements for engagement

2. To consider the necessary reporting expectations for 2017 onwards, and provide inputs into planning and proposing the nature of reporting or information required so that Board can fulfill its reporting and information requirements as outlined in the Charter

As an information point, Appendix 1 provides an update on the status of the development of the new performance management framework.

2a. 2016 reporting– Products and sequencing

1. CRP Annual Reports
- The year 2016 was the last year of operation of the CRPs funded in phase I.
- Activities for 2016 will be reported by individual CRPs using a template mandated by the former Fund Council

2. CRP Portfolio Report
- The information in the individual CRP reports is used to develop the CRP Portfolio Report which looks at CRPs according to 3 categories:
  - Type I: One crop, few Centers and long historical scientific base
  - Type II: Integrative, multi-crop, multi-partner
  - Type III: Addressing newer, integrative and systemic issues

3. CGIAR Annual Report
- The CGIAR Annual Report is developed as a communications document, making use of the CRP Portfolio Report and other CGIAR information.

2b. Overall schedule for 2016 reporting (in 2017), highlighting Board engagement

2016 CRP Annual Reports	2016 CRP Portfolio Report	2016 CGIAR Annual Report

Activities & Milestones:

- 15 April 2017: Deadline for receipt of 16 Phase I CRP Annual Reports 2016
- 15 April-5 May: Developing comments to be shared with CRPs
- 5 May: Sharing comments with CRPs
- 19 May: Deadline for revised CRP Annual Reports

Activities & Milestones:

- 5 May-5 June: writing CRP Portfolio Report 2016
- 12-15 June 2017: Annual Science Leaders meeting to seek feedback from CRP leaders on the draft Portfolio Report 2016
- 3 July: Final draft of Portfolio report
- Board Engagement: 4-14 July: seeking Board input
- 21 July: Finalize Portfolio Report

Activities & Milestones:

- Portfolio Report used in development of CGIAR Annual Report
- Mid-August: Final draft of CGIAR Annual Report 2016 to be ready
- Board Engagement: 21-31 August: electronic endorsement of CGIAR Annual Report 2016
- Early September: CGIAR Annual Report 2016 published

3a. Expectations on reporting 2017 onwards: From the Framework and Charter

Reporting or information type	Role of the System Management Board from the Charter, Article 8.1	Role of System Council from the Framework, Article 6.1
Work programs and financing plans on CGIAR Research	(dd) <u>Provide</u> annually to the System Council and seek the Council's strategic guidance	(r)<u>Review</u> annually and <u>provide strategic guidance</u> to the System Management Board
Annual portfolio analysis and program reports on the CGIAR Portfolio	(jj) <u>Review</u> the report prepared by the System Management Office and <u>propose to the System Council strategic actions</u> to ensure results and continued relevancy (kk) Taking in account feedback from the System Council, <u>approve</u> the reports	(w) <u>Review</u> reports
Consolidated system-level annual financial and programmatic reports on CGIAR Research	(oo) <u>Review and submit</u> to the System Council, and taking into account feedback from the System Council, <u>approve</u> the reports	(aa) <u>Review</u> the reports and <u>provide feedback</u> to the Board

3b. Expectations on reporting 2017 onwards: From drafting in the new Funding Agreements

1. **Programmatic report on the CGIAR Portfolio**
   (Clause 11.3.1 Activity, Output, Outcome and Impact Reporting)
   - **To**: Funders
   - **By**: the System Organization
   - **How**: in form and substance satisfactory to the System Council
   - **When**: on an annual basis (<u>unless otherwise decided by the Council</u>)
   - **Including**: evidence-based assessment of-
     - i. Progress on or towards the achievement of expected outputs and outcomes and likelihood of the impact being achieved
     - ii. Challenges in implementing activities
     - iii. Implementation and achievement against the System Organization's gender strategy
     - iv. Total spending on CGIAR Portfolio from all funding sources

2. **Final report** after completion of CRP or Platform (Clause 11.3.2)

3. **CGIAR Annual Report [on All CGIAR Research]** (Clause 11.4)
   - The System Organization will provide an annual programmatic summary on the activities of the System Organization <u>and all CGIAR Research</u>.

4a. Looking forward- Strategic reporting on new Portfolio: Current steps

1. All CRPs and Platforms have submitted their Work programs and Budget (POWB) using the new trial template for 2017.

2. Making use of peer-review from the Office, the POWB documents will be finalized by the Programs and Platforms by 22 March 2017.

3. The Office will develop for the Board a synthesis of the work programs and budget to share with the System Council at its 4th meeting, 10-11 May, Netherlands.

4. An interim CRP Annual Report template will be developed based on Board and Council inputs and issued towards the end of the year for CRPs and Platforms to use for reporting on 2017 activities.

5. A suggested approach to reporting on 2017 and beyond is presented in the next slide as a basis for discussion and planning.

4b. Seeking Board input on format and timing of strategic reporting for 2017 onwards

Reporting or information type	Role of the System Management Board from the Charter, Article 8.1	Suggested Format	Potential Timing- some questions to consider
POWB: Work programs and financing plans on CGIAR Research	(dd) <u>Provide</u> annually to the System Council and seek the Council's strategic guidance	Synthesis of activities to be undertaken through the work programs	To SC by end of March each year, for strategic guidance?
CRP Reports and Portfolio Report: Annual portfolio analysis and program reports on the CGIAR Portfolio	(jj) <u>Review</u> the report prepared by the System Management Office and <u>propose to the System Council strategic actions</u> to ensure results and continued relevancy (kk) Taking in account feedback from the System Council, <u>approve</u> the reports	1. <u>Lighter synthesis of progress</u> against the emerging performance management framework, based on categories of: (i) agri-food systems, (ii) integrating programs and (iii) platforms 2. <u>Deeper, detailed analysis of progress</u> towards 2030 SRF targets, lessons learned and strategic questions	1. Each year- but how early could we set the deadline for the CRP Reports-so the Portfolio report gets done in a timing which makes it useful for other processes? 2. Possibly every 3 years by end of April, to discuss in SC May meeting?
CGIAR Annual Report: Consolidated system-level annual financial and programmatic reports on CGIAR Research	(oo) <u>Review and submit</u> to the System Council, and taking into account feedback from the System Council, <u>approve</u> the reports	Summary of programmatic activities of the System Organization and all CGIAR Research, presented in a communications style document	To be published annually in July?

Update on the development of an Integrated Framework for a Performance Management System

Purpose

This document provides an update on progress in developing an Integrated Framework for a Performance Management System ('Performance Management System') for CGIAR Research, since the 4th System Management Board ('Board') meeting held on 17 December 2016.

This update includes:

- Section I: Progress on key elements of the Performance Management System-
    A. Indicators
    B. POWB
    C. Annual Report
    D. ICT tool
- Section II: Overview of contributions across the System to the development of the Performance Management System
- Section III: Gaining additional performance management capacity at the System Management Office ('Office')

Action Required

The System Management Board is asked to consider the progress and next steps in the development of an integrated framework for a performance management system for CGIAR research as is presented in this update.

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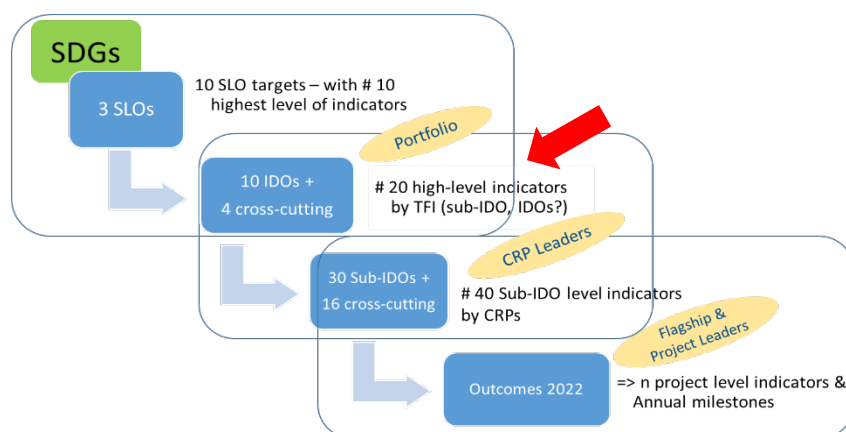Prepared by: The System Management Office

Background

1. A Task Force on Indicators ('Taskforce') was commissioned by the System Organization in April 2016 to come up with a plan to monitor the CGIAR system's progress towards its system level outcomes at the development impact level.

2. The Taskforce primarily includes representation from the System Management Office ('Office'), the Monitoring, Evaluation and Learning Community of Practice ('MEL CoP'), CRP leaders, IEA and ISPC, and donors including USAID, GIZ, and the Dutch Government (Ministry Foreign Affairs).

3. The Taskforce firstly focused on developing indicators, however, it became clear that there was a need for an integrated performance management system into which these indicators would fit, pulling together different monitoring, evaluation and learning entities including ISPC/SPIA and the IEA.

4. The proposed approach for the Performance Management System was presented to additional Funders at CIMMYT 50 (EU, ACIAR, BMGF, Swiss Agency for Development & Cooperation, National Research Council Canada), to the broader MEL CoP, and was endorsed by the Board at its 3rd Meeting on 1 November 2016 and the System Council during its 3rd meeting held virtually on 23 November 2016.

5. The Action Plan for results-based management presented and endorsed at SC3 will focus in 2017 on addressing additional gaps such as: interim Program of Work and Budget ('POWB'), CRP Annual Report and Portfolio Report templates, and to implement a system-wide interoperable ICT support and facilities for planning and reporting.

Section I: Progress on key elements of the Performance Management System

A. Indicators

6. The Taskforce focused on the indicators pointed to by the red arrow in the diagram:

7. Progress on 2017 CRP-level indicators towards sub-IDOs was made, including a consensus on the need to improve and reduce indicator numbers, and work towards harmonization of indicators, where possible. This task is expected to be completed during the wrap-up meeting of the Taskforce, 21-24 March 2017.

8. High-level draft indicators for the 3 SLOs were reviewed and will be mapped to the 10 SLO indicators and to the set of Sub-IDO level indicators to identify potential linkages.

9. 2017 CRP-level indicators towards sub-IDOs were reviewed as part of the 2017 POWBs process, and improvements and opportunities for harmonization were identified. Criteria used for the review included aggregability, measurability, frequency, and mapping to sphere of interest. These indicators were also mapped to 20 of the high-level draft indicators to identify potential linkages.

10. The Taskforce has identified an additional need to assess the current status of baseline data available to support the monitoring of the proposed indicators, and to identify the remaining baseline gaps. Baseline activities are being planned across the CRPs (see POWBs 2017); however, additional efforts will be needed to fill these gaps in close collaboration with the Standing Panel for Impact Assessment (SPIA) in the second phase of the Strengthening Impact Assessment in CGIAR (SIAC) project and linked with the CGIAR Country Collaboration.

11. The Taskforce will hold its wrap-up meeting 21-24 March 2017 to:
    a. Finalize the indicator work of the current Taskforce.
    b. Validate and when possible articulate sets of indicators (limited number) at different levels of use depending of the R4D pathway from the sphere of control to the sphere of influence and eventually the sphere of interest.
    c. Validate the work of the Taskforce with funder representatives (ACIAR, BMGF, GIZ, NL, USAID) and CGIAR specialists (IEA and ISPC).
    d. Develop a well-documented hand-over package to be taken forward by a new task force on the integrated framework with proposed next steps, key messages to specific target audiences (e.g. Office, Board, Council, Resource Groups, MEL CoP).

B. Program of Work and Budget (POWB)
12. In collaboration with the MEL CoP and based on feedback from CRP and Platform Leaders, and CGIAR specialists, a 2017 POWB template was prepared for both programs and platforms, which was finalized on 15 January 2017) and shared with CRP/Platform leaders.

13. All 11 CRPs and 3 Platforms submitted their 2017 POWB in a timely manner and followed the agreed template.

14. Proposed criteria for undertaking a review of the 2017 POWB were developed based on the interim template to be able to harmonize comments and make a synthesis for the Board. These proposed criteria were shared with CRPs and Platforms, and then with the Board on 8 March 2017 for input.

C. Interim Annual Report template 2017

15. An outline for the improvement/development on the CRP Annual Report template was prepared. The System Management Office, in collaboration with the MEL CoP and CRP/Platform Leaders will further develop an interim template.

16. The Science Leaders' meeting in June 2017 has been proposed as a first milestone in the development of the draft interim template for the CRP Annual Report 2017. The Board will be asked for input during development of the template and eventually for endorsement before the template is issued.

D. ICT Supported Planning, Monitoring, Evaluation, Reporting and Learning Platform

17. A positive response and interest was received from CRPs and others for an ICT-supported planning, M&E, reporting and learning platform (e.g. MARLO).

18. Managing Agricultural Research for Learning and Outcomes (MARLO) is an existing ICT online platform that can support the planning, monitoring, evaluation, reporting, and learning processes across and within participating CRPs and Platforms. This platform is built to be interoperable with other open source systems in place and used across CGIAR, and will provide content harvestable by the Big Data Platform for efficient performance management. The status of this tool includes:
    a. Seven CRPs and one Platform have been developing a common standard for this platform and associated processes.
    b. Two more CRPs have shown interest and are in the decision process. A few CGIAR Centers have also started looking at the benefits of such a tool.
    c. The CCAFS development team is working towards a business intelligence model to allow learning, analysis and decision making within and across the research programs and platforms. CIAT leads the Big Data Platform with IFPRI as a co-lead, ensuring the required synergies and collaboration to build performance management functionalities efficiently into the platform.

19. At the System level, a harvesting and analytical tool is required to ensure an efficient performance management system. The Big Data Platform is developing a harvester that will enable the "plug-and-play" functionality between CGIAR research outputs and reported indicators and mapping, visualization, and analytical tools to enable this for a

variety of stakeholders. A prototype is expected to be developed by the end of 2017, with a working beta version in 2018).

20. This Big Data Platform harvesting tool could be used for the following purposes, as suggested by CRP/Platform Leaders, including:
    a. Going beyond repositories to include MEL data from the MARLO platform;
    b. Mapping indicators to data sets, including scientific data;
    c. Automatizing standard processes to guide staff;
    d. Consolidating information across portfolio; and
    e. Bringing more transparency internally and externally.

21. There is a clear need for coordination with the MEL, MARLO, Big Data Platform and other relevant teams on developing user requirements and functionalities to support the reporting process.

Section II: Overview of contributions across the System to the development of the Performance Management System

22. **Monitoring, Evaluation and Learning Community of Practice (MEL COP)**:
    a. Virtual meetings are organized every two months. Meetings are increasingly well-attended, and participation and contributions are getting more distributed across the group.
    b. The MEL COP has currently a set of sub-groups working on important elements for the community of practice, including on: governance, templates for planning and reporting, online MEL platforms, and a common glossary.
    c. The next in-person meeting is tentatively scheduled for September 2017 where discussions will be held on XXX

23. **CRP and Platform Leaders**:
    a. In addition to CRP Leaders' involvement in the Task Force, a meeting was held 10-11 January 2017 to collect feedback and focus on validation of draft elements of the Performance Management System by CRP and Platform Leaders, as well as experts from IEA and ISPC/SPIA. Consensus was reached on the Monitoring, Evaluation and Learning ('MEL') framework with the three spheres of control, interest and influence, and related MEL components needed within each of the spheres (as per the document shared with the SMB4, 17 December 2017).
    b. CRP and Platform leaders have been consulted on the development of the interim POWB template during its development as well as the proposed criteria to use in reviewing these.

24. **Other MEL-related meetings** taking place across the System will provide valuable knowledge to support the development of the Performance Management System:

    a. IEA-hosted *Theories of Change Workshop* 12-14 Jan. 2017.
    b. ISPC-led *Quality of Research Working Group* meeting 6-7 February 2017.
    c. SPIA-led *Advanced Methods in Impact Assessment Workshop*, WorldFish Penang, Malaysia from 8-12 May 2017.
    d. Joint *SPIA/PIM conference* in Nairobi, 6-8 July: Combines the end of SIAC Conference along with the Annual Social Science Conference, hosted by PIM with the theme of "technology adoption and impact".
    e. *SIAC Training Workshop* in September 2017.

25. Examples of learning by doing:
    a. **The RICE Kick-Off Meeting** (6-8 March) and **RICE Independent Steering Committee** (9-10 March, Los Baños, Philippines) included specific sessions on indicators in the context of the Performance Management System which highlighted interest for connecting CRP-level indicators (sub-IDO) with high level indicators from the Taskforce and confirmed commitment to managing RICE for outcome-based results including setting up MARLO or an equivalent planning and reporting tool.
    b. **The Excellence in Breeding platform kick-off meeting** took place 13-16 March, Utrecht, Netherlands with a presentation of the 5 modules to 50 members of the platform's External Advisory Group (EAG) and a workshop by module on implementation. The specific participation of the Office in Module 1 related to the need for developing:
        i. A harmonized monitoring system for CRP/Centers breeding pipelines;
        ii. A standardized mechanism to monitor breeding program performance, including the design of a common set of indicators and metrics; and
        iii. Standardized approaches to measure genetic gains in research station and farmers' fields (yield gaps' identification).

Section III: Gaining additional performance management capacity at the System Management Office

26. To provide additional capacity to support the development and implementation of the Performance Management System, it was agreed that a position of Senior Officer would be opened at the System Management Office. The new Performance Management Senior Officer currently being recruited will have as a main task to design, jointly with the relevant stakeholders, a more detailed action plan and associated resources needed for the implementation of the Performance Management System.