Updates on CGIAR Results-Based Management

PIM Social Science Workshop
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David Rider-Smith, WLE
Frank Place, PIM
Tonya Schuetz, SMO/CCAFS
Outline

1. Background: Definitions and who’s who
2. Overview: CGIAR RBM Framework
   a) Integrated Framework
   b) Monitoring – Templates
   c) Indicators
3. Outlook: Key up-coming meetings
Definitions
Who’s who
Financial and Programmatic Performance

Article 8.1 hh) *lead a consultative process with the ISPC and other System entities for the development of an integrated framework for a performance management system for CGIAR research that provides feedback on progress and results and contributes to decisions on the allocation of resources*
CGIAR’s Results-Based Management Framework (RBM Framework)

Framework that provides a consistent approach for strategic planning, management and reporting based on learning and accountability.

Change the name of IFPMS to: CGIAR’s Results-Based Management Framework (RBM Framework)
Results-based management

A management strategy focusing on performance and achievement of outputs, outcomes, and impacts.

From IEA; January 2015
“CGIAR STANDARDS FOR INDEPENDENT EXTERNAL EVALUATION”
**Who’s who**

**System Management Board** - will constitute a similar committee to provide advice to its members by Sep 2017 (oversight of CGIAR effectiveness and impact based on RBM framework; provide inputs into development of integrated framework for a performance management system for CGIAR research)

**System Management Office** - responsible for developing templates for planning and reporting and undertaking portfolio level analyses and to implement performance management tasks as directed by SC/SMB

**Independent Science and Partnership Committee** - leading the effort to develop a framework and indicators for assessing quality of research

**Standing Panel on Impact Assessment** - planning to track adoption and several high level indicators in selected countries; conduct impact assessments

**Independent Evaluation Arrangement** - coordinates external evaluations of CRPs, other system entities and cross cutting issues

**MEL COP** - been tasked to assist SMO in developing indicators to assess the delivery of the SRF, to help develop an RBM framework, to develop planning and reporting templates....Also playing a proactive role in reaching out to other entities

**RBM Task Force** - is proposed to be an implementing group, carrying out requests from the committees to advance the performance matrix – will build on existing work of the task force on indicators but take on a broader scope

**SIMEC SC** - Strategic Impact, Monitoring and Evaluation Committee under the System Council, consisting of representatives from 6 funders and 2 constituencies → **SIMEC has the following advisory roles**

- Approve CGIAR Policies related to strategic impact, monitoring and/or evaluation critical to maintaining CGIAR reputation
- Oversee CGIAR’s performance indicators, methodology & targets, assess CGIAR’s performance against the SRF & its portfolio
- Review and approval of an integrated framework for a performance management system for CGIAR Research;
- Review of the annual portfolio analysis and program reports on the CGIAR Portfolio.
- Approve IEA evaluation plans & financing of ex-post IA of the CGIAR Portfolio proposed by ISPC after consultation with SMB.
Overview

CGIAR RBM Framework
Process for development of CGIAR’s RBM Framework


Harmonization of monitoring standards (planning and reporting)

Five RBM pilot trials 2014 (W1)

CGIAR Strategy and Results Framework (2016-2030)

Extension Phase (2015/16) – realignment of program structure with their theories of change

Q2/2016 – Q3/2017

Collaborative development of a holistic, broad take on RBM to evidence CGIAR’s performance (programmatic and financial).

IEA RBM Evaluation

Q1/2017 – Q2/2018

Pilot the framework, evaluate and make necessary adjustments to it based on lessons learnt

Q3/2018 – Q4/2022

Apply ‘final’ CGIAR RBM framework operationalization of Phase II including the revision of the SRF (2016-2030)
We will focus on progress in the first and second areas in this presentation.
CGIAR RBM Framework Progress to Date

1. Framework
   - RBM – MEL framework, definitions => in prep
   - Governance structure => tbd
   - Roles & responsibilities => tbd

2. Monitoring, evaluation and impact assessment
   - Plans & standards => in prep
   - Quality of Research for Development (working group led by ISPC) => in prep
   - Prioritization (by ISPC prior to call for Phase 2 proposals) => done

Indicators
   - Draft set of harmonized indicators for consultation => Done
   - Detailed descriptions and guidance => in prep
   - Baselines => tbd
2. Monitoring, evaluation and impact assessment (contd.)

Templates for Planning and Reporting

• Template for Plan of work and budget 2017 (POWB) => done
• Review, comments and consolidated report on POWBs 2017 => done
• Template for CRP Annual Report => in prep
• Template for CRP Portfolio Report => tbd

3. Interoperable IT system (e.g., MARLO)

• ICT supported planning, reporting, evaluation and learning => in prep
• Dashboard – Business Intelligence => in prep

4. Learning, adjusting, decision making

• adaptive management standard practices => in prep
• plans and tools => tbd
Integrated Framework
CGIAR Monitoring, Evaluation & Learning Framework within a CGIAR RBM

Sphere of Control
- Foresight & Initial stakeholder engagement
- Research, innovations & services
- Changes in capacity (KAS) & aspirations

Sphere of Influence
- Changes in practice
- Direct/indirect benefits
- Improved well-being & ecosystem health

Sphere of Interest
- Changes in policies and institutions

STAKEHOLDER ENGAGEMENT
- SDGs
- Rapid assessment and learning loops

MEL for Quality of Research
MEL for Research Use & Effectiveness
MEL for Development Effectiveness
Potential MEL for each sphere

Sphere of Influence

• Monitoring stakeholder behavior (research initiative)
• Outcome stories (research teams)
• Outcome assessments (evaluations – impact studies)

Sphere of Control

Monitoring of:
• Quality of Research
• Output Delivery
• Immediate research outcomes

Sphere of Interest

• Monitor sub-set of SDGs and SRF indicators
• Pursue impact studies, embedding this as part of the research process, where appropriate
Potential MEL for each sphere

Sphere of Influence
- Monitoring stakeholder behavior (research initiative)
- Outcome stories (research teams)
- Outcome assessments (evaluations – impact studies)
- Monitor sub-set of SDGs and SRF indicators
- Pursue impact studies, embedding this as part of the research process, where appropriate

Sphere of Control
- Monitoring of:
  - Quality of Research
  - Output Delivery
  - Immediate research outcomes

Quality of research spans the spheres in the dimension of effectiveness.
M&E and Impact Assessment

Indicators
Figure 2: CGIAR Results Framework

Our vision:
A world free of hunger, poverty and environmental degradation

Our mission:
To advance agri-food science and innovation to enable poor people, especially poor women, to increase agricultural productivity, share in economic growth, feed themselves and their families better and conserve natural resources in the face of climate change and other threats.
Indicators within the RBM - MEL framework

- **Sphere of Influence**
  - CRP-specific outputs, many reported under common indicators
  - Harmonized indicators and CRP-specific outcomes
  - 10 SLO targets – common to the system

- **Sphere of Control**
  - Center Science and CRP Leaders

- **Outputs**
  - tracked annually

- **Outcomes**
  - tracked annually or 2-3 years

- **Impacts**
  - tracked between 2-5 years
Indicators within the RBM - MEL framework

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**Impacts** — tracked between 2-5 years

**IDO and sub-IDOS**
Annex 4. How CGIAR goals align with the Sustainable Development Goals (SDGs)

**CGIAR goals**

- Reduce poverty: 1, 3, 5, 8, 10, 17
- Improve food and nutrition security for health: 1, 2, 3, 5, 6, 10, 12, 17
- Improve natural resource systems and ecosystem services: 5, 6, 12, 13, 15, 16, 17

**SDGs**

1. End poverty
2. End hunger
3. Ensure healthy lives
4. Ensure education
5. Achieve gender equality
6. Ensure availability of water and sanitation
7. Ensure access to energy
8. Promote economic growth and work for all
9. Build resilient infrastructure
10. Reduce inequality within and among countries
11. Make cities safe and sustainable
12. Ensure sustainable consumption and production
13. Take action to combat climate change
14. Conserve oceans and marine life
15. Protect and promote sustainable use of terrestrial ecosystems
16. Promote peaceful, inclusive societies for sustainable development
17. Strengthen global partnerships

Key: Bold: Strong contribution; Plain: Moderate contribution; Light: Little or no contribution
## Sphere of Interest:
### SLO 3 Example - Targets and Proposed Indicators

### SLO3: Improved natural resource systems and ecosystems services

<table>
<thead>
<tr>
<th>SLO Target</th>
<th>Potential Indicator</th>
<th>Source</th>
<th>SDG (SDSN) Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>S.3.1</td>
<td>3.1 5% increase in water and nutrient (inorganic, biological) use efficiency in agro-ecosystems, including through recycling and reuse</td>
<td>- Water use efficiency Farm-level NPK measurements Sample surveys/logbooks; Ag Ministries census data; FAO Aquastat/Audrual</td>
<td>Indicator 15: Nitrogen use efficiency in food systems Indicator 16: [Crop water productivity (tons of harvested product per unit irrigation water)] – to be developed</td>
</tr>
<tr>
<td>S.3.2</td>
<td>3.2 Reduce agriculturally-related greenhouse gas emissions by 0.2 Gt CO2-eyr-1 (5%) compared with business-as-usual scenario in 2022</td>
<td>Emissions intensity based on (Average net emissions/ha/year) and (Average yields/ha (for crops) or yield/animal)</td>
<td>TBC Indicator 79: Net GHG emissions in the Agriculture, Forest and other Land Use (AFOLU) sector (tCO2e)</td>
</tr>
</tbody>
</table>
## SLO 3: Targets and Proposed Indicators..cont..

### SLO3: Improved natural resource systems and ecosystems services

<table>
<thead>
<tr>
<th>SLO3.3</th>
<th>SLO Target</th>
<th>Potential Indicator</th>
<th>Source</th>
<th>SDG (SDSN) Indicators</th>
</tr>
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<tr>
<td>3.3</td>
<td>55 million hectares (ha) degraded land area restored</td>
<td># of hectares of degraded land restored&lt;br&gt;Area under sustainable land management</td>
<td>Reported by partners, annually; FAO, annually</td>
<td>Indicator 84: Area of forest under sustainable forest management as a percent of forest area</td>
</tr>
<tr>
<td>3.4</td>
<td>2.5 million ha of forest saved from deforestation</td>
<td>Forest area as a proportion of total land area</td>
<td>(SDG 15.1.1)</td>
<td>Indicator 83: Annual change in forest area and land under cultivation</td>
</tr>
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</table>
Approach to Identify Harmonized Indicators in the Sphere of Influence

1. Identification of the portfolio results areas for each SLO, and associated sub-IDOs and relevant indicators (top-down approach)

2. Review of all CRP proposals and POWB 2017, including proposed indicators (bottom-up approach) and consultation with CRP Leaders (Jan 2017)

3. Analysis of the intersection of indicators derived from the bottom-up and top-down approaches and with some refinement

4. Surveyed harmonized set (MEL COP, CRP and Science Leaders, funder representatives)
### SLO3: Improved natural resource systems and ecosystems services

#### SLO Target and Indicators

3.1 5% increase in water and nutrient (inorganic, biological) use efficiency in agro-ecosystems, including through recycling and reuse

Measured through:
- Irrigation (or water use) efficiency
- Fertilizer (or nutrient) recovery rate or nutrient use efficiency

#### Result Area

3.1 Farm management practices for water and nutrient use efficiency

#### Narrative

From discovery to farm adoption of improved management practices that increase water and nutrient use efficiency on the farm

#### Harmonized Next Level Indicators & Corresponding CRPs

| Policies and practices that are supportive of farm management water and nutrient use efficiency | WLE; CCAFs; Rice (8 indicators) |
| % farmers using water and nutrient efficient practices by targeted country | Maize; Wheat (4 indicators) |
| # of ha of agricultural land or water area using water and nutrient efficient practices by targeted country | CCAFs; WLE; Fish (3 indicators) |
### SLO3: Improved natural resource systems and ecosystems services

#### SLO Target and Indicators

3.2 Reduce agriculturally-related greenhouse gas emissions by 0.2 Gt CO2-e yr⁻¹ (5%) compared with business-as-usual scenario in 2022

Measured by:
Emissions intensity based on (Average net emissions/ha/year) and (Average yields/ha (for crops) or yield/animal) for agricultural land

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<th>Result Area</th>
<th>Narrative</th>
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<tr>
<td>3.2 Agricultural and non-agricultural Practices that reduce GHG emissions</td>
<td>From discovery to adoption by farmers, national governments and other land owners of improved management practices that reduce GHG emissions</td>
</tr>
</tbody>
</table>

#### Harmonized Next Level Indicators

- # policies, practices and products informed by CGIAR research work that promotes reduction of greenhouse gas emissions from agriculture, forests and other forms of land use (cross cutting)
- # of countries/states where CGIAR work has been used for enhancing capacity (disaggregated by local, regional and national) to deal with climate extremes
  
  [potential to look at characterizing countries by state of capacity so that it continues to change over time]
- # of countries/states where CGIAR work has been used to take action for reduction of greenhouse gas emissions from agriculture, forests and other forms of land use
- (I.3.6) % of farm households and land owners using practices that reduce GHG emissions by targeted country

#### Corresponding CRPs

- WLE; RTB; Livestock; CCAFs (9 indicators)
- Cross cutting (TBD)
- Cross cutting (TBD)
- Fish; Rice; CCAFs (4 indicators)
Next steps on Indicators

Consolidate survey results into an improved set of outcome indicators and collection frequency for the sphere of influence

Compile complete set of indicators in the three spheres, receive feedback from SIMEC and science leaders and revise for eventual decision in November SC meeting (along with other RBM components)

Once finalized, continued operationalization is required (who, where, methods detail.....)
Upcoming meetings/decisions

MEL CoP and ECOP meeting Kenya Oct. 2017
- Internalize RBM developments and make 2018 plans
- Devote time to operationalizing CGIAR RBM at a country level using Kenya as example, aligning with SPIA plans

ECOP meeting Kenya Oct. 2017
- Lessons from the Results Based Management Evaluation
- Building a cost-effective and utility-focused Evaluation System in CGIAR
- Mapping of Evaluative Studies (incl. Impact Assessment studies) and Development of a Multi-year evaluation plan

System Council meeting Columbia Nov. 2017
- key target for submitting and seeking approval on progress made on developing CGIAR RBM Framework
Thank you