

## Performance Management System for CGIAR Research: Update on Action Plan development

### Purpose

This document sets out a progress update on the development of a comprehensive performance management framework for CGIAR Research<sup>1</sup>. It highlights the overall strong support received from the System Council during its 23 November 2016 virtual meeting on the then status of development of that framework. It summarizes additional progress and thinking since then.

### Action Required

No decision on this material is required at SMB4. A more substantive briefing, seeking System Management board inputs will be provided at the planned late-March 2017 meeting.

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**Prepared by:** System Management Office

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<sup>1</sup> Defined in the CGIAR System Framework as all research undertaken in support of the Strategy and Results Framework. Thus, it encompasses the research approved as part of the 2017 – 2022 CGIAR Portfolio, together with additional research that is also aligned to the goals of the SRF.

## Part A - Background

1. A key responsibility of the System Management Board under the July 2016 revised governance framework is to “*recommend a proposal to the System Council for an integrated framework for a performance management system for CGIAR Research*”<sup>2</sup>. In support of that responsibility, a task force on indicators has been working to advance a common understanding of the components of such a framework. CGIAR’s Strategy and Results Framework 2016-2030 (‘SRF’) lays out CGIAR’s goals and aspirations, and outlines the areas of work required to contribute effectively to the System Level Outcome (‘SLO’) targets identified for each of the three SLOs (SLO 1 - Reduced Poverty; SLO 2 – Improved Food and Nutrition Security for Health; and SLO 3 – Improved Natural Resources and Ecosystems Services).
2. Having engaged with stakeholders across the System over recent months, a progress update on the overall approach and timetable for delivery of the necessary framework was presented to the System Council at its 3<sup>rd</sup> meeting, held virtually on 23 November 2016 (“SC3”).
3. Annex 1 to this paper extracts from the extensive System Council paper<sup>3</sup> the overall high-level timetable that the System is working towards.
4. Universally, the feedback from SC3 was strong support for the work being undertaken, and recognition of the progress that had been made on the indicators and potential framework since the System Council’s 2<sup>nd</sup> meeting in Mexico on 25-26 September 2016.
5. Noting its overall endorsement of the process, the System Council requested that the work be taken forward, mandating the System Management Office to provide to the System Council an update on implementation of the Action Plan at the System Council’s planned May 2017 meeting.<sup>4</sup>

## Part B - Actions since 3<sup>rd</sup> System Council Meeting

6. Building on strong feedback from stakeholders, this Part B sets out immediate past and planned follow up.

### *Designing a more detailed Action Plan*

7. One of the key next steps is to take the high-level timeline set out in Annex 1 to this paper, and develop a more detailed action plan (‘Action Plan’) with articulated tasks,

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<sup>2</sup> Charter of the CGIAR System Organization, 1 July 2016, Article 8.(ii)

<sup>3</sup> The full paper is available at this link: [http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/11/SC3-03\\_Towards-PerformanceMgmtSystem\\_17Nov2016.pdf](http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/11/SC3-03_Towards-PerformanceMgmtSystem_17Nov2016.pdf)

<sup>4</sup> Dates are being finalized, with the expectation that this will be either 4-5 May 2016, or 10-11 May 2017.

responsibilities and resourcing needed for the 10 items of the phased implementation plan presented at SC3.

8. CGIAR's Monitoring, Evaluation and Learning Community of Practice ('MEL COP') met on 5 December 2016, with aim of: (i) sharing the results from SC3; and (ii) up-dating members on progress and next steps from the different sub-working groups on MEL COP governance (a five-member Steering Committee including the two co-chairs was adopted), indicators, templates for planning (POWB) and reporting (Annual Report) and an interoperable ICT infrastructure for planning and reporting. The MEL CoP members agreed to continue trying to be as engaged as possible to provide inputs on the coming actions, products and services.
9. The design of the Action Plan follows the phased approach set out in Annex 1, and is centered around the delivery of essential products and services. For example: (i) system-wide performance management framework with a harmonized performance assessment linking planning with reporting; (ii) template for planning and reporting at CRP and portfolio levels; (iii) indicators at system, CRP, Flagship Project levels, which bare harmonized internally and with external agencies and processes, like SDG, SDSN, USAID, BMGF; and (iv) interoperable ICT support facilities and an appropriate business intelligence model.

*Planned Consultation with CRP leaders, IEA and ISPC/SPIA representatives*

10. To take the work forward, the System Management Office has proposed a meeting (piggybacking on existing ISPC and IEA planned meetings) for 10 – 11 January 2017 to review, endorse and/or input into the design of the current draft key performance management related MEL products and services as mentioned above, and including the Action Plan itself. Ten CRP and platform leaders are participating in person, and representatives of IEA and ISPC/SPIA. Others will also have a chance to input virtually.

*Continued and expanded consultations with Funders*

11. Building on already frequent engagement with a small number of CGIAR's Funders, the period out to May 2017 will involve continued and expanded consultation across the System Council membership, with specific effort to draw on those System Council members who are able to commit time and support to ongoing development of the performance management framework. A particular example of the strong collaborative nature of this engagement is that the Bill and Melinda Gates Foundation ('BMGF') has shared information on their new "AgDev Results Framework", with the interest of these standardized indicators proposed by BMGF for the CGIAR framework being discussed, and a win-win learning process is now established with follow up meetings arranged for beginning of next year.

Annex 1: Schedule for phased implementation of performance management system

1. First phase focuses on development of priority components for system-wide discussion including:

**To 31 December 2016**

Item	Action
1.1.	Continuation of the <b>interim System Management Office-commissioned cross-representative Task Force</b> to finalize the identification of feasible levels of outcome measurement and associated indicators
1.2.	Commencement of the design of an <b>action plan</b> for implementing the proposed approach for an Integrated Framework on Performance Management System for CGIAR Research. This would need to capitalize on ISPC/SPIA, IEA and Centers' and CRP's MEL capacities in a well-facilitated manner and consideration of additional expertise needs in the system
1.3.	Finalization of an <b>interim Annual Program of Work and Budget (POWB)</b> template for 2017
1.4.	Development of an <b>interim CRP Annual Reporting (AR)</b> template and convergence with ISPC/SPIA and IEA on the inclusion of ex ante appraisal and evaluation as well as any indicators on research performance.

2. Second phase in 2017 will focus on further system development and initial implementation of a robust results framework:

**January-June 2017**

Item	Action
2.1.	15 January: First guidance to CRPs on <b>POWB template for 2017</b>
2.2.	15 February: CRPs and Platforms provide annual POWB for 2017
2.3.	<b>Task Force</b> conducts the consultative process to finalize core components of the Integrated Framework for a Performance Management System that will include connections between evaluation, impact assessment (ISPC and IEA) and annual financial and programmatic reporting for 2017 - 2022. Iterative and timely input from relevant CGIAR stakeholders will need to be ensured (TORs and deliverables of such Task Force to be endorsed by System Management Board).
2.4.	Finalization of the Action Plan
2.5.	Testing the monitoring plan, including <b>revision of the proposed performance measures and indicators</b> on the basis of experience, and proper linkages to <b>national systems</b>
2.6.	Implementation of an <b>on-line interoperable platform</b> for planning, monitoring & reporting, such as MARLO (Managing Agriculture Research for Learning and Outcomes) setup by CCAFS

**July-December 2017**

2.7.	30 September: First guidance to CRPs on <b>AR template for 2017 [and AR template for platforms]</b>
2.8.	30 September: First guidance to CRPs on <b>CRP Portfolio Report template for 2017</b>
2.9.	<b>Revise</b> the proposed indicators, and planning & reporting templates after one-year cycle of planning and reporting
2.10.	Finalized CGIAR Integrated Framework on Performance Management System is endorsed by System Management Board and approved System Council

3. Third Phase in 2018-2019 will focus on system refinements in light of initial implementation experience in 2017, and building expanding the usage of the system in terms of performance metrics.