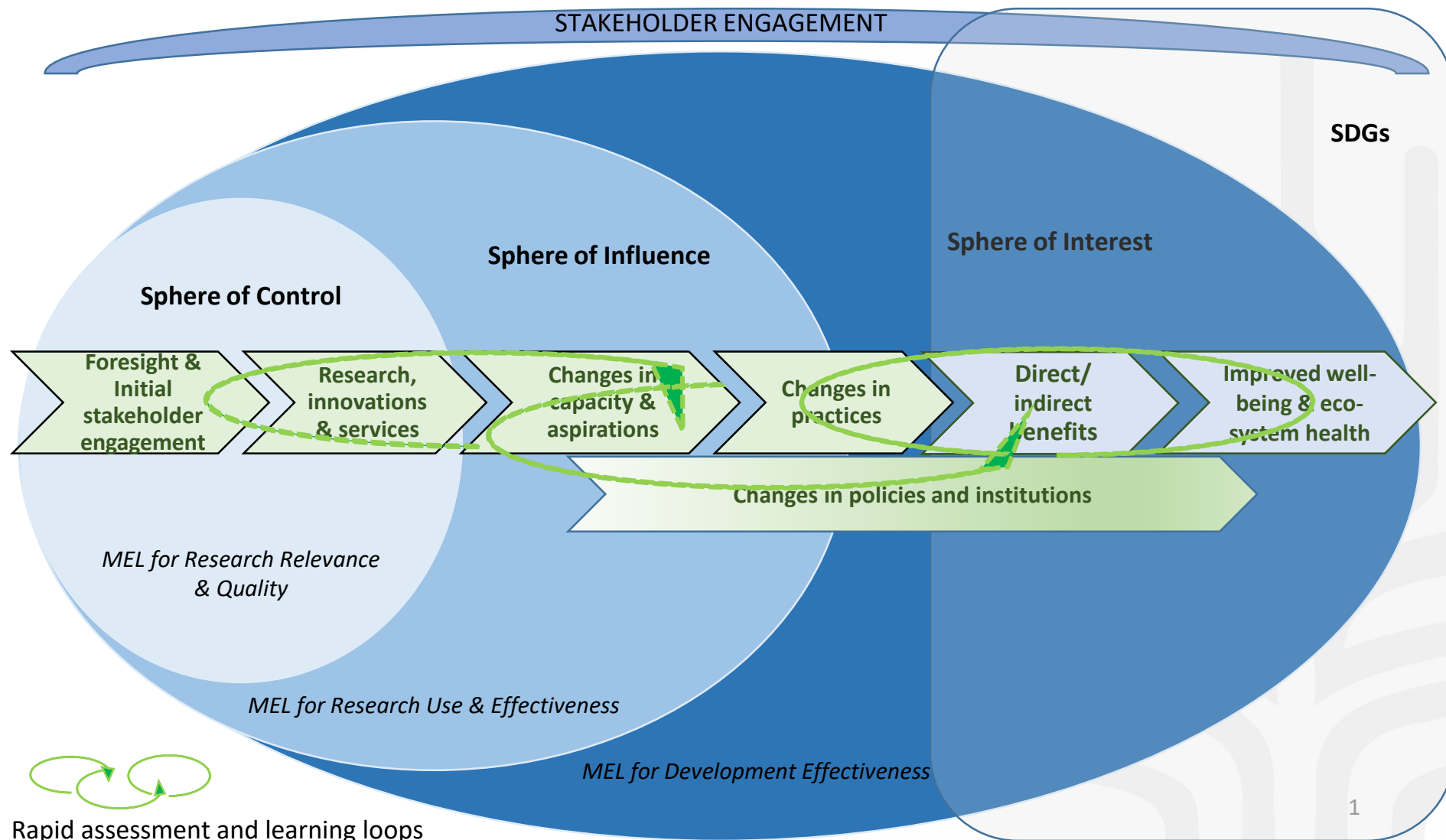


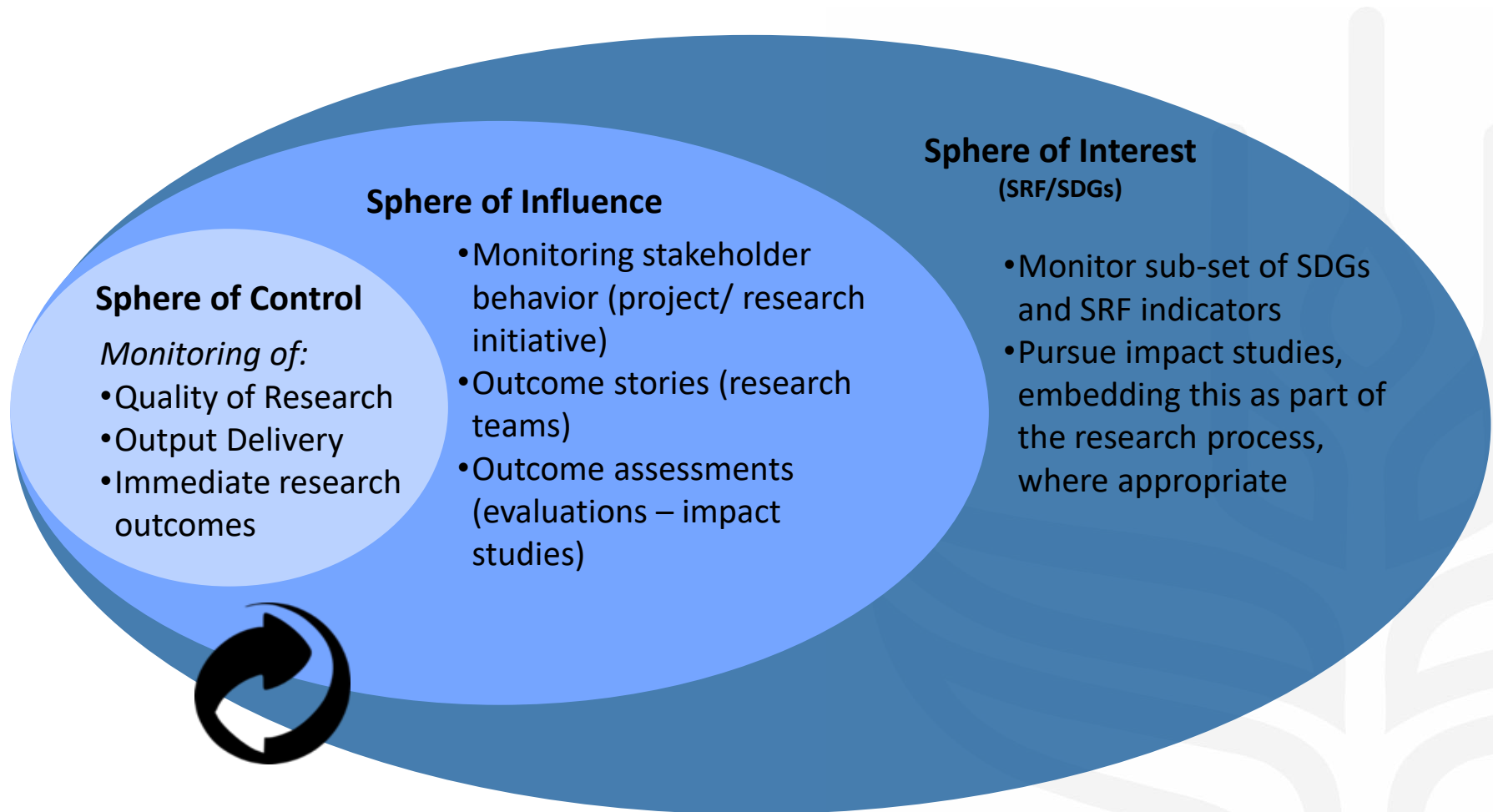
Session 9: Recommended pre-read

Examples of Progress to date on:

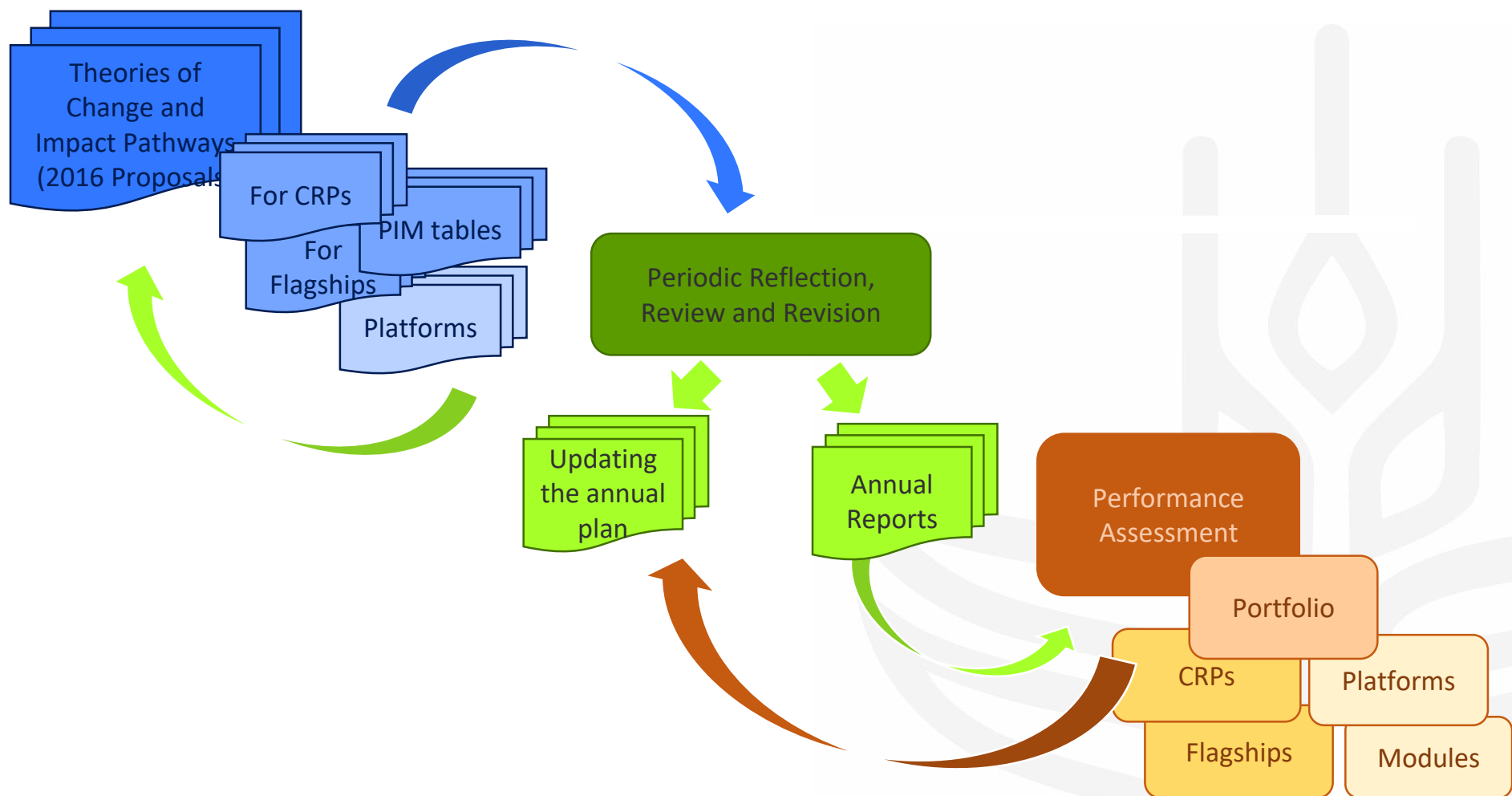
1. Framework
2. Templates (POWBs 2017)
3. Indicators
4. ICT support tool

Foundation for RBM





Harmonizing Performance Components



CRP Annual Plan of Work and Budget (POWB) for 2017 - INTERIM TEMPLATE -

See for instructions and guidance at the end of the template

COVER PAGE

Name of the CRP _____ Name of the Lead Center _____
List of participating Centers and other key partners (including logos) _____

A. CRP LEVEL [3 pages maximum]

A1. Delivery [1 page maximum excluding Table 1]

A1.1 Adjustments/ changes to your Theories of Change

Describe any planned adjustments/ changes to your Theory of Change (ToC) (if any), e.g. if a CRP has changed as a consequence of either some flagships not being funded in 2017 (or beyond) or because operational realities have changed in other ways that this presumably effects the overall approach of the CRP to the delivery of the results, [link to your CRP ToC, changed or as in proposal]

A1.2 Highlight expected Outcomes and Outputs

Describe some key outcomes that your CRP expects to contribute in 2017 and some key outputs that your CRP expects to deliver in 2017. Distinguish where possible between those that are building on past work (and therefore, for example, expect to expand or scale) and those are new areas of investment (as per annex 2). Point to any key outcomes and outputs relevant to gender, youth and CapDev.

A1.3 Use of different Funding Sources

Indicate how W1-2 funding will be used vis-à-vis W3-bilateral.
Also provide a summary financial table (see table 1)

Table 1: CRP planned budget by flagship for 2017

Flagship Name	Planned Budget 2017		
	W1/W2	W3/bilateral	Total
(one row per FP)			
FP1			
FP2, etc...			
CRP Management & Support Cost			
Total			

A1.4 Planned Revisions to your Program of Work

Describe any changes to the program of work in 2017 (if any, e.g. revised 2017 CRP targets) compared to what was described in your Phase II proposal, and give reasons for this, (e.g. updated budget projections, decision pending on funding of certain flagships)

A2. Collaboration and Integration [1 page maximum]

A2.1 Contribution to and from Platforms

Describe expected services, collaborative research or studies, materials that would be required from each of the CGIAR Platforms (Big Data, Excellence in Breeding, Genebanks, and Gender) to support the implementation of the CRP's POWB for 2017, and an indication of the source of the budget where possible (e.g. CRP, Platform, Joint, other)

A2.2 Cross-CRP interactions

Describe what is being done in collaboration with other CRPs any relevant outputs, outcomes and progress towards impact. Focusing on results that could not have been produced without such alliances and insisting on the give and take value for your CRP.

A2.3 Expected Efforts on Country Coordination

Describe expected efforts related to the CGIAR country coordination initiative in 2017. How will the CRP engage with CGIAR's country coordination and in which countries? What are the priority themes for coordination and how will this work be funded?

A3. Management, Governance and Monitoring, Evaluation, Learning [0.5 page maximum]

A3.1 Relevant Changes in Management and Governance

Describe any relevant changes to the CRP compared to the proposal, such as in the governance structure, Program Management Unit, or in the administration of the MEL process.

A3.2 Monitoring, Evaluation, Impact Assessment and Learning Plans

Describe key monitoring initiatives, evaluations, impact assessments planned for the year, within the framework of the program's theory of change.

B. FLAGSHIP LEVEL**Flagship** [1, 2, ..., n] *[1,5 page maximum per flagship, excluding tables]***B.1 Delivery****B.1.1 Expected Annual Milestones towards Outcomes 2022**

Describe for each flagship what is planned during 2017 to contribute towards the FP 2022 outcomes, with whom you are working (key partners) to achieve this, and how this will deliver on the corresponding SRF sub-IDO and target. Summarize plans to achieve and document annual milestones (table 2).

B.1.2 Output towards Outcomes 2022

Key research outputs and their contribution to the outcomes 2022, including Gender and other cross-cutting issues such as Youth or Capacity Development (see table 3).

B.1.3 Contribution of W1-2 Funds

Indicate how W1-2 funds will be used, for what purpose, and the relationship with W3-Bilateral funds. See table 3 for a breakdown and allocation by actual outputs.

Flagship level tables consolidated**Table 2**

FP No.	Mapped and contributing to Sub-IDO	Relevant CRP sub-IDO indicators*	2017 Target**
FP1	Sub-IDO 1.1.3	CRP sub-IDO Indicator 1	
		CRP sub-Indicator 2	
	Sub-IDO 1.3.4		
	Sub-IDO 1.2.3		
FP2			

Disclaimer

- 2.1) Keep in mind that the indicators for sub-IDOs are still work in progress.
 2.2) *Relevant CRP Sub-IDO indicators as provided to SMO in Nov. 2016 for SC3-03 item)
 2.3) **Whenever available please provide targets.

Table 3: Expected Annual Milestones (progress markers) towards Outcomes 2022

FP No.	FP Outcome 2022	Milestone 2017 Max. of 3 milestones per FP outcome 2022	Mapped budget request for 2017	
			W1/ W2 USD	W3/ bilateral USD
FP1	Outcome 1.1	Milestone 1.1.1		
		Milestone 1.1.2		
	Outcome 1.2	Milestone 1.2.1		
		Milestone 1.2.2		
	Outcome 1.3	Milestone 1.3.1		
FP2	Outcome 2.1	Milestones n		

Disclaimer:

- 3.1) Milestones could be outputs or outcomes as appropriate to the scale and maturity of the work. **In this table 3 please focus as much as possible on milestones towards outcomes to avoid overlaps and duplication with table 4.**

- 3.2) Budget amounts are mapped to outcomes from costing outputs and activities that are required to enable changes that we expect to happen.
- 3.3) It is important to acknowledge that the budget amounts are likely not directly correlated to the work proposed for this year, but build on investment and outputs from the past.

Table 4: Expected Key Output 2017 towards Outcomes 2022

FP No.	FP Outcome 2022	CoA Output	Tagging of expected outputs 2017		
			G	Y	CD
FP1	Outcome 1.1	CoA output 1			
		CoA output 2			
	Outcome 1.2	CoA output 1			
	Outcome 1.2	CoA output N			
FP2					

Disclaimer

- 4.1) Please see explanations in the instructions and guidance below to complete the tagging columns for the cross-cutting topics.
- 4.2) G = Gender, Y = Youth, CD = Capacity Development;
- 4.3) Markers: 0 = not targeted, 1 = significant, 2 = principal
- 4.4) CoA (Cluster of Activity) Outputs or Key Outputs reported in the POWB are expected to be key products, new knowledge and services produced through a variable number of deliverables reported at the project level (and not necessarily at the program level); for output's definition, see glossary.

- END of INTERIM TEMPLATE -**Annex 1: Glossary**

- **Impacts:** Positive and negative, primary and secondary long-term effects resulting from a chain of events to which research has contributed, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types¹, sphere of interest; see annex 3, and phase of scaling in annex 4.
- **Impact assessment:** In CGIAR, this term is generally used for an ex-post study which uses specialized methods to estimate the changes in selected development parameters and the extent to which these are attributable to defined research activities or programs of the CGIAR¹. However, in phase II and under the new strategy and results framework 2017-2030, the CGIAR Research Programs are taking on a wider definition of the term, recognizing that there are different forms of impact assessment built into the programs of work, e.g. Theories of Change as one ex-ante impact assessment.
- **Indicator:** A quantitative or qualitative variable that represents an approximation of the characteristic, phenomenon or change of interest (for instance, efficiency, quality or outcome). Indicators can be used to monitor research or to help assess for instance organizational or research performance¹.
- **Inputs:** the financial, human, and material resources used in research.¹
- **Output:** the products, new knowledge and services which result from research, capacity building and other activities related to research for development¹, sphere of control, see annex 3. Outputs are resulting of discovery and proof of concept phases; see annex 4.
- **Outcome:** the intended or unintended short-term and medium-term effects resulting from an intervention's outputs¹, change in knowledge, attitudes and skills, manifest as change in discourse, institutions, policy and practice that result in part of in while from the CRP's research and associated activities, sphere of control and influence, see annex 3. Research outcomes are resulting of pilot phase and development outcomes from scaling up phase; see annex 4.
- **Milestone:** is a progress marker towards our Flagship 2022 outcomes and into which they are divided for monitoring intermediate performance along a timeline. Milestones are measurable and observable. Annual milestones are defined to reflect some reasonable achievement for the specified time period (challenging but achievable). Milestones could be outputs or outcomes as appropriate to the scale and maturity.
- **Performance management:** the continuous process of setting goals, measuring progress, giving feedback, coaching for improved performance, and rewarding achievement.¹
- **Target:** an amount of change that is to be achieved over a specific time frame in an indicator.²
- **Theory of Change (ToC):** includes the impact pathways and the assumptions along the way. Presents a hypothetical identification of the ways by which change is expected to occur from output to outcome and impact along an impact pathway. The ToC questions the assumptions about causality underlying the relationships between outputs, outcomes and impact. In ToC the assumptions present the mechanisms of change.¹

¹ From "CGIAR standards for independent external evaluation", IEA, Dec 2015² L.G. Morra-Imas and R.C. Rist, Road to Results, World Bank, 2009

Sub-IDO	# of CRPs					
1.1.1 Increased household capacity to cope with shocks						
1.1.2 Reduced production risk						
1.2.1 Improved access to financial and other services						
1.2.2 Reduced market barriers						
1.3.1 Diversified enterprise opportunities						
1.3.2 Increased livelihood opportunities						
1.3.3 Increased value captured by producers						
1.3.4 More efficient use of inputs						
1.4.1 Reduced pre- and -post production losses, including those caused by climate change						
1.4.2 Closed yield gaps through improved agronomic and animal husbandry practiced						
1.4.3 Enhanced genetic gain						
1.4.4 Increased conservation and use of genetic resources						
1.4.5 Increased access to productive assets, including natural resources						
2.1.1 Increased availability of diverse nutrient-rich foods						
2.1.2 Increased access to diverse nutrient-rich foods						
2.1.3 Optimized consumption of diverse nutrient-rich food						
2.2.1 Reduced biological and chemical hazards in the food system						
2.2.2 Appropriate regulatory environment for food safety						
2.3.1 Improved water quality						
2.3.2 Reduced livestock and fish disease risks associated with intensification and climate change						
2.3.3 Increased safe use of inputs						
3.1.1 Land, water and forest degradation (including deforestation) minimized and reversed						
3.1.2 Enhanced conservation of habitats and resources						
3.1.3 Increased genetic diversity of agricultural and associated landscapes						
3.2.1 More productive and equitable management of natural resources						
3.2.2 Agricultural systems diversified and intensified in ways that protect soils and water						
3.2.3 Enhancement of plant and animal biodiversity for multiple goods and services						
3.3.1 Increased resilience of agro-ecosystems and communities, especially those including smallholders						
3.3.2 Enhanced adaptive capacity to climate risks						
3.3.3 Reduce net greenhouse gas emissions from agriculture, forests and other forms of land-use						

Consolidated report on POWBs 2017



Cross cutting sub-IDOs

	Sub-IDO	# of CRPs					
Climate Change	A.1.1 Reduced net GHG emission for agriculture, forests and other form of land use						
	A.1.2 Increased above and below ground biomass for carbon sequestration						
	A.1.3 Improved forecasting of impacts of climate change and targeted technology development						
	A.1.4 Enhanced capacity to deal with climate extremes						
	A.1.5 Enabled environment for climate resilience						
Gender & Youth	B.1.1 Gender-equitable control of productive assets and resources						
	B.1.2 Technologies that reduce women's labor and energy expenditure developed and disseminated						
	B.1.3 Improved capacity of women and young people to participate in decision-making						
Policies & Institutions	C.1.1 Increased capacity of beneficiaries to adopt research outputs						
	C.1.2 Increased capacity of partner organizations, as evidenced by rate of investment in agricultural research						
	C.1.3 Conducive agricultural policy environment						
	C.1.4 Conducive environment for managing shocks and vulnerability, as evidenced in rapid response mechanism						
Capacity Development	D.1.1 Enhanced institutional capacity of partner research organizations						
	D.1.2 Enhanced individual capacity in partner research organizations through training and exchanges						
	D.1.3 Increased capacity for innovation in partner research organizations						
	D.1.4 Increased capacity for innovation in partner development organizations and in poor and vulnerable communities						

NB: Data derived from Table 2 of the POWBs for 2017 - includes cases where CRPs declare indicators and targets for 2017 contributing to meeting specific sub-IDOs. The absence of outputs against individual sub-IDOs does not mean they are being addressed, simply that that outputs and outcomes relevant to that sub-IDO are likely to be derived later in the 6-year program cycle.

What CGIAR is planning to deliver in 2017 * ?

+ 32,000,000 households

consuming bio-fortified
varieties



+ 1,300,000 households

with increased access to
capital



+ 1,000,000 households

Potentially affected by policy changes



GHG emissions

at least 5% GHG emissions
reduction or reach at least
10,000 farmers



+ 7,000,000 households

covered by social
protective programs



+ 600,000 hectares

of land restored or prevented from deforestation



600,000 farmers

adopting management practices



+ 6,500,000 farmers

growing bio-fortified varieties



+ 5,000,000 farmers

adopting new varieties
with less use of inputs or
increased genetic gain

Increased genetic gain

+ 1.0-1.5% maize, rice, wheat

+ 5% fish



+ 200 new varieties

=> maize, rice, wheat, roots, tubers & bananas



Source: CGIAR

** Based on 11 CRPs Plan Of Work & Budget for 2017*

Task Force on Indicators



Commissioned in April 2016

***=> Operationalizing the SRF with a set of high-level Indicators
and a new Monitoring, Evaluation and Learning Framework***

Philippe Ellul (System Organization), Michelle Guertin (MAIZE/WHEAT/CIMMYT), Tonya Schuetz (consultant), Shaylyn Gaffney (MAIZE/WHEAT/CIMMYT), David Rider-Smith (WLE/IWMI), Hope Webber (RICE/IRRI), Claudio Proietti (RTB/CIP), Nancy Johnson (A4NH/IFPRI), Karl Hughes (GLDC, FTA/ICRAF)

Tom Randolph (Livestock & Fish), Graham Thiele (CIP/RTB), Bas Bouman (IRRI/RICE)

Ahmed Kablan (USAID), Leslie Perlman (USAID), Michel Bernhardt (GIZ), Corinne Abbas & Jeroen Rijniers (Dutch Government, Ministry of Foreign Affairs), Bhramar Dey (BMGF), Andrew Alford (ACIAR)

Sirkka Immonen (IEA), James Stevenson (ISPC/SPIA),

Ten aspirational targets

Target ID, descriptions and intermediary 2022 values		2030 values
1	100 million more farm households have adopted improved varieties, breeds or trees, and / or improved management practices	350
2	30 million people, of which 50% are women, assisted to exit poverty	100
3	Improve the rate of yield increase for major food staples from current <1% to 1.2-1.5% per year	2.5%
4	30 million more people, of which 50% are women, meeting minimum dietary energy requirements	150
5	150 million more people, of which 50% are women, without deficiencies in one or more of the following essential micronutrients: iron, zinc, iodine, vitamin A, folate and vitamin B12	500
6	10% reduction in women of reproductive age who are consuming less than the adequate number of food groups	33%
7	5% increase in water and nutrient (inorganic, biological) use efficiency in agro-ecosystems, including through recycling and reuse	20%
8	Reduce agriculturally-related greenhouse gas emissions by 0.2 Gt CO ₂ -e yr ⁻¹ (5%) compared with business-as-usual scenario in 2022	0.8
9	55 million hectares (ha) degraded land area restored	190
10	2.5 million ha of forest saved from deforestation	7.5

CRP Sub-IDO level Indicators



CRP Performance 2017

Progress markers, proposed indicators and targets disaggregated to flagship level

CCAFS (Climate Change, Agriculture and Food Security) CCAFS FP1: Priorities and Policies for CSA in 2017

CRP Performance 2017
November 2017

Milestone Description for 2017 ¹		Means of Verifying ¹	For which 2017 outcomes ²	2017-year W1-2 / total (%)	6-year W1-2 / total (%)
1.1	New generation of multi-level CCAFS scenarios methodology developed and tested, including a focus on food and nutrition security and gender and social inclusion gaming approaches for youth are explored	Journal articles and reports, including scenarios tools	14 countries/states adapting plans and directing investment to diverse nutrient-rich foods, with all plans and investments examined for their gender implications	850,000 / 2,450,000 (35%)	5,250,000 / 14,910,000 (35%)
1.2	CCAFS regional scenarios are used for multilevel policy development and implementation in selected countries/states, focusing on climate and food and nutrition security policies aimed at dietary diversity	Evidence of CCAFS science included in policy processes, media coverage and partner websites	20 countries/states where CCAFS priority setting used to target and to improve food and nutrition security under a changing climate	650,000 / 2,550,000 (25%)	6,120,000 / 16,970,000 (36%)
1.3	2 modified versions of global and regional models to evaluate climate smart practices and technologies and the related trade-offs and synergies for CSA are developed and tested	Technical progress reports and documented model runs			
1.4	Cross-CRP modes of operation are defined, including joint ex ante analyses and data sharing and the CoA 1.1 Learning Platform established	Journal article			
1.5	Novel analytical frameworks, indicators and metrics for evaluating cross-level dynamics and the effectiveness of enabling policy environments to support adaptation options and the scaling of CSA are developed and tested, considering 'good enough' governance	Learning platform of the work-plan			
1.6	Science-policy exchange processes, stakeholder dialogues and learning alliances are maintained and conditions for open policy dialogues are mainstreamed climate change dialogues	Journal articles and reports novel analytical frameworks are documented on the CCAFS website			
1.7	Policy...	Policy...			

CCAFS Table 2: SLOs, IDOs and sub-IDOs with proposed indicators

(*) CCAFS-FPs and Sub-IDOs listed are extracted from the CCAFS PIM Table C (Full proposal)

(**) The proposed indicators are coming from an interim POWB proposed by CCAFS and based on the RBM section Annex 3.6 of the Full Proposal.

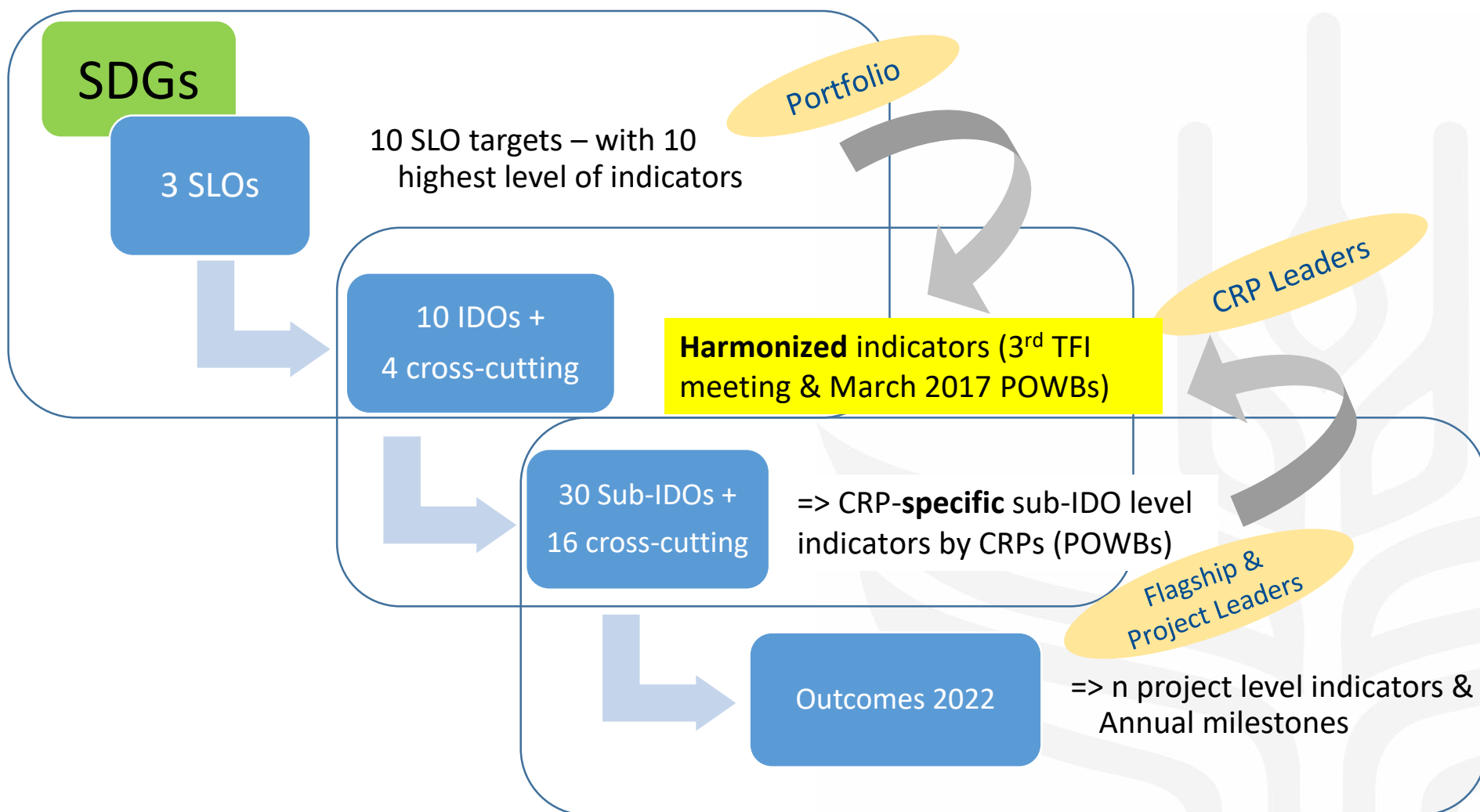
FP (*)	SLO	IDO	Sub-IDO (*)	Proposed draft indicators (**)	Targets for 2017
FP2		Increased resilience of the poor to climate change and other shocks	Reduced production risk	Number of SHs receiving programmatic, financial, policy-related trainings for adopting CSA related practices and technologies (that potentially reduce production risks).	0.5 million
FP2	Reduced Poverty (SLO1)	Enhanced smallholder market	Improved access to financial and other	Number of sub-national public and private initiatives providing access to novel financial services.	2

Table 2 from POWB 2017; CCAFS example

Table 2

Flagship No.	Mapped and contributing to Sub-IDO	Relevant CRP sub-IDO indicators*	2017 Target**
FP1	1.1 Optimized consumption of diverse nutrient-rich foods	# of organisations and institutions in selected countries/states adapting plans and directing investment to optimise consumption of diverse nutrient-rich foods, with all plans and investments examined for their gender implications	2
	1.2 Improved forecasting of impacts of climate change and targeted technology development	# of countries/states where CCAFS priority setting used to target and implement interventions to improve food and nutrition security under a changing climate	3
	1.3 Enabled environment for climate resilience	\$ USD new investments by state, national, regional and global agencies, informed by CCAFS science and engagement	USD 75 million
	1.4 Gender-equitable control of productive assets and resources	# of national/state organisations and institutions adapting their plans and directing investment to increase women's access to, and control over, productive assets and resources	7
	1.5 Increased capacity for innovation in partner development organizations and in poor and vulnerable communities	# of policy decisions taken (in part) based on engagement and information dissemination by CCAFS	8
FP2	2.1 Reduced smallholders production risk	# of farm households receiving incentives (training, financial, programmatic, policy-related) for adopting CSA related practices and technologies that potentially reduce production risks with increased benefits for women	0.5 million
	2.2 Improved access to financial and other services	# of sub-national public/private initiatives providing access to novel financial services and supporting innovative CSA business models	2
	2.3 Improved forecasting of impacts of climate change and targeted technology development	# of site-specific targeted CSA options (technologies, practices and services) tested and examined for their gender implications	10

A common set of harmonized indicators



SLO1: Reduced Poverty

SLO Target and Indicators

S.1.1 100 million more farm households have adopted improved varieties, breeds or trees, and/or improved management practices

Measured by: Number of farm households that have applied one or more CGIAR supported varieties, breeds or trees, and/or improved mgt. practices in current/previous farming season.

Research area

Breeding for increased economic potential on the farms

Narrative

From discovery to adoption of new varieties by farmers, with increased economic potential for the farmers.

Sub-IDO

Harmonized Indicators

CRPs

1.3.2 Increased livelihood opportunities

Increased income through diversified farm activities (diversification of crops, livestock and fish breeds, tree species)

MAIZE, RTB, LIVESTOCK, WHEAT, CCAFS

1.3.4 More efficient use of inputs

Number of farmers benefitting from direct or indirect actions **reducing unnecessary use of input**

FTA, MAIZE, RTB, PIM, LIVESTOCK, RICE

1.4.1 Reduced pre- and post production losses

Number of farmers adopting new varieties that **reduce pre- and post-harvest losses**

MAIZE, RICE, RTB, PIM, WHEAT, RICE

1.4.3 Enhanced genetic gain

Number of farmers adopting new varieties that **increase genetic gain**

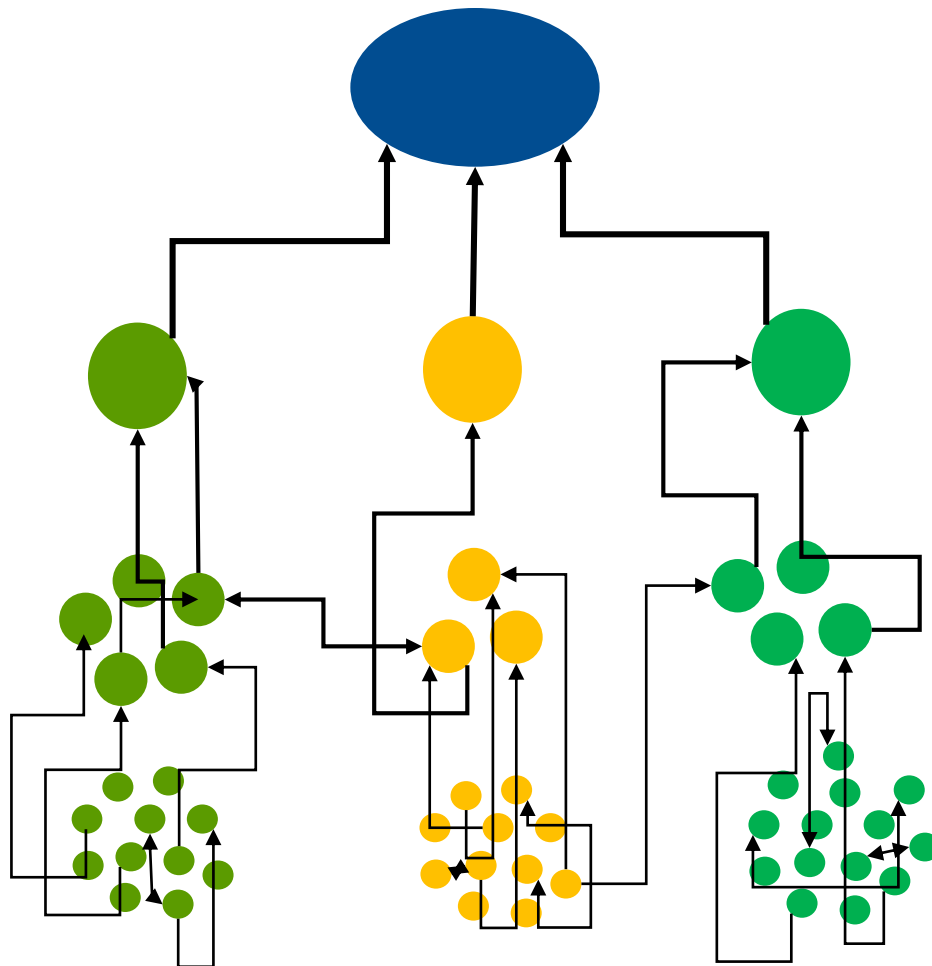
MAIZE, RICE, WHEAT, RTB, FISH

1.4.4 Increased conservation and use of genetic resources

Number of germplasm/seed lots, livestock, data sets or related-information distributed and shared to develop or refine **genetic use strategies**

LIVESTOCK, FISH, RICE, PIM

Indicators for measuring progress



Portfolio-level reporting

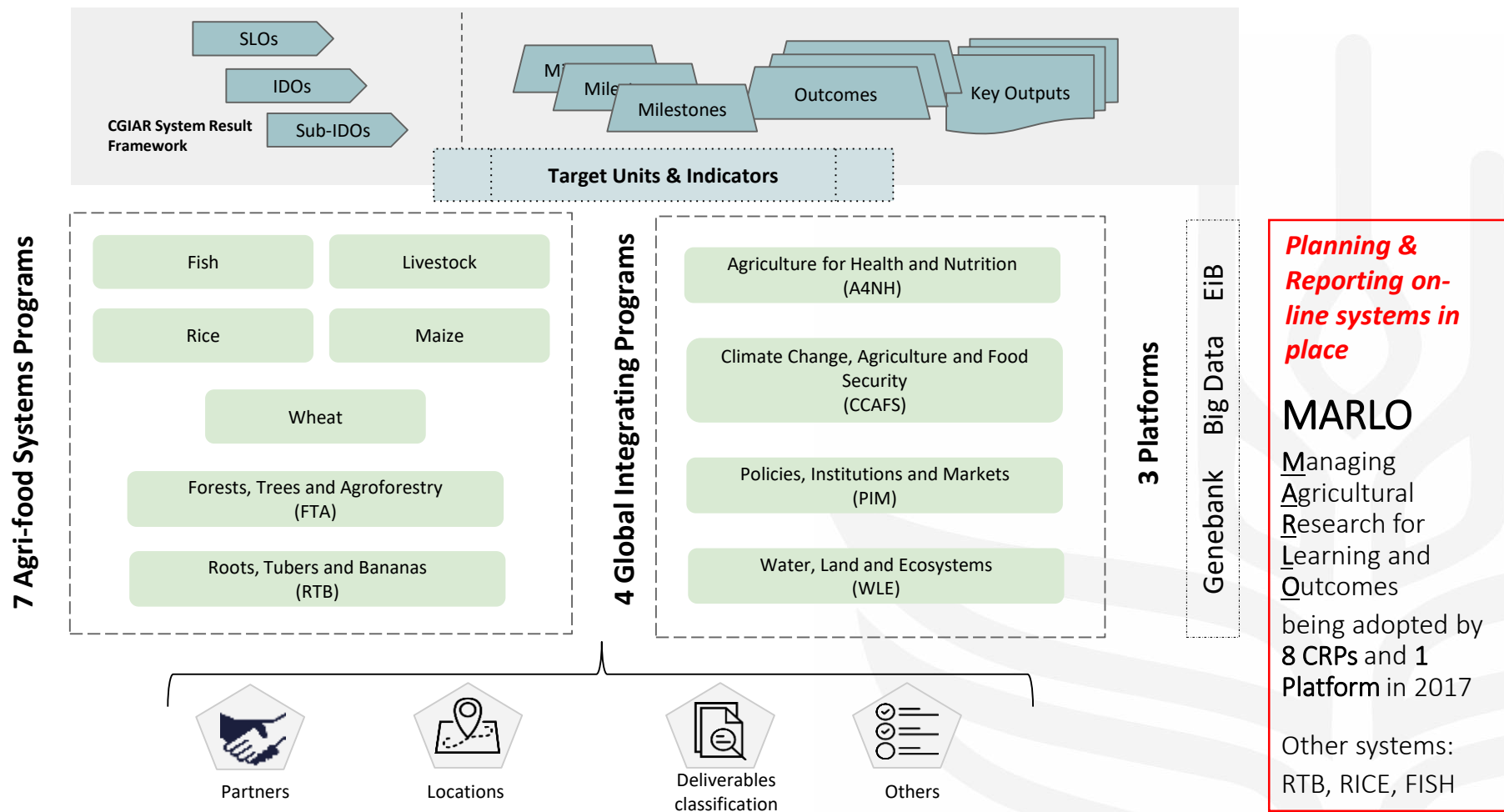
10 SLO-level indicators

20 harmonized indicators
(sub-IDO level)

+ 300 output-level indicators

CRP-level reporting

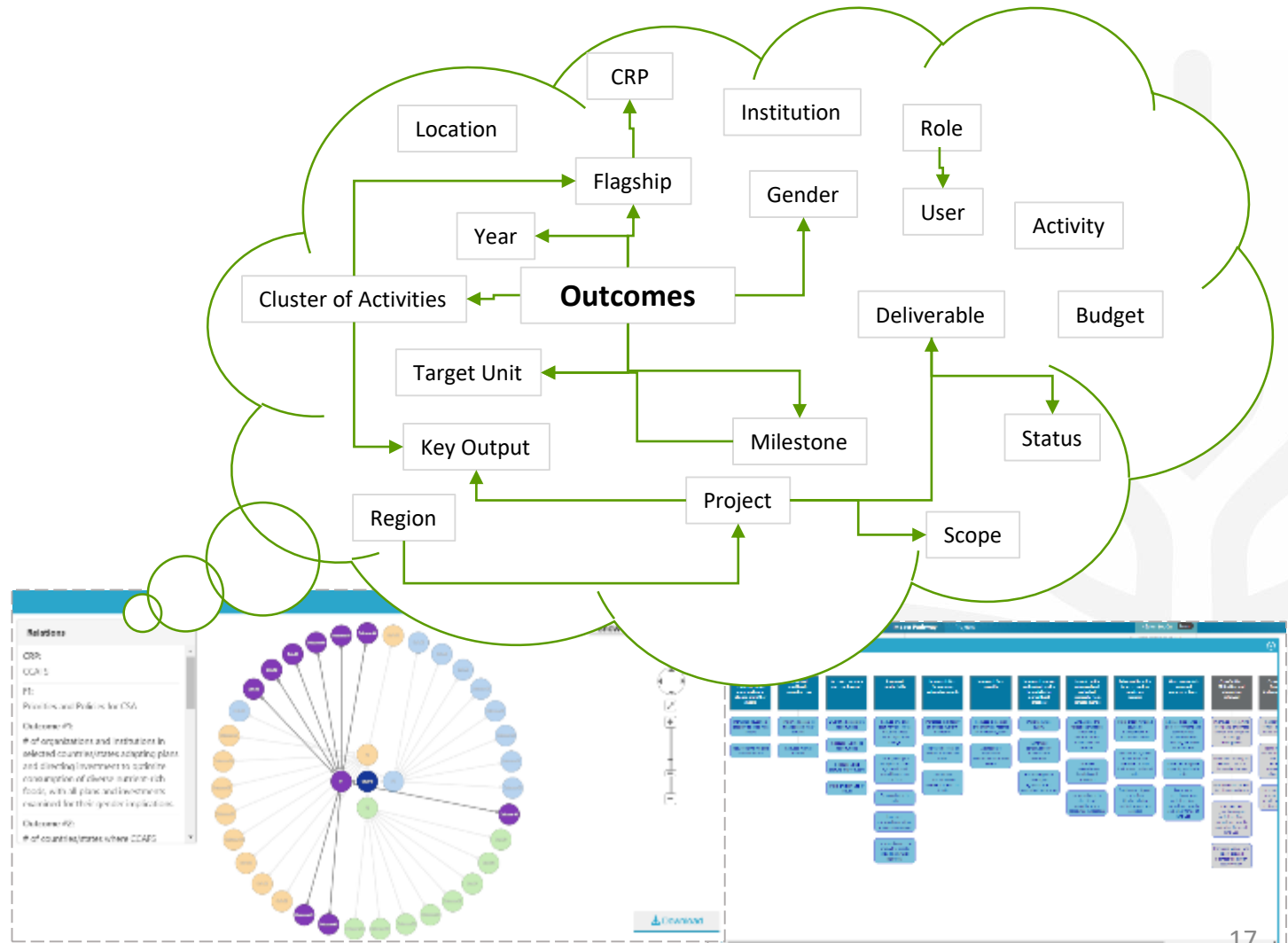
Common standards & interoperable facilities for planing, monitoring & reporting



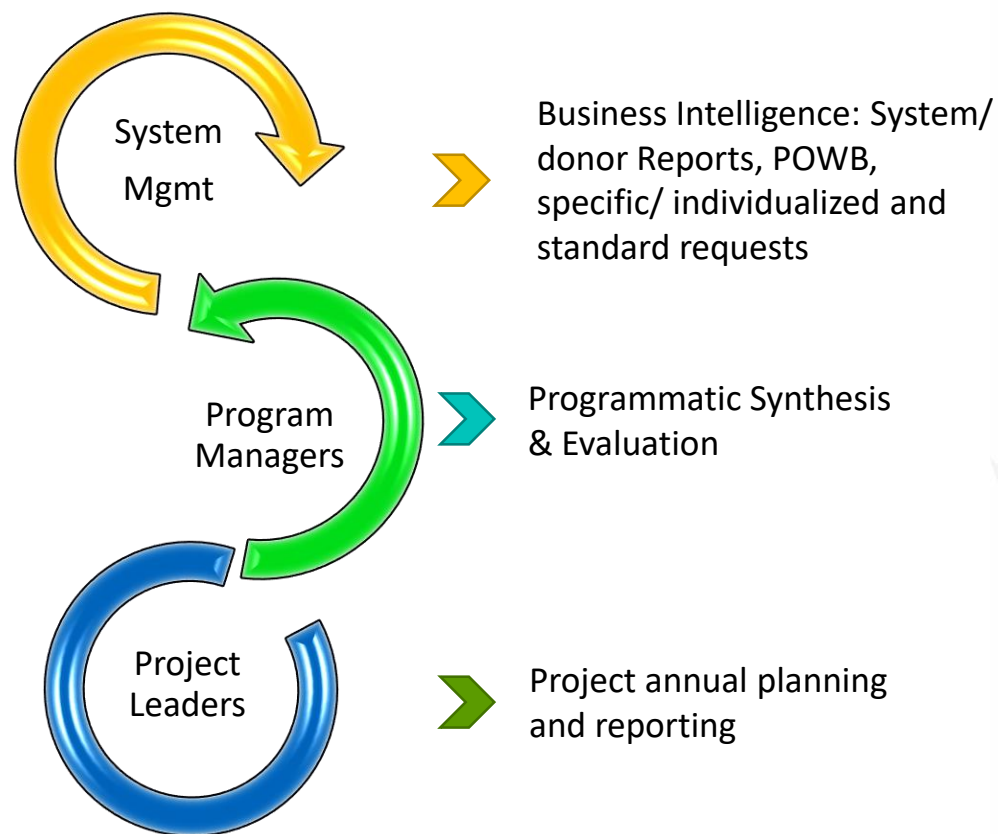
Kindly provided by David Abreu (CIAT/CCAFS)

ICT support & operationalization of the CGIAR SRE

- Business Intelligence / Dashboard



MARLO service delivery & performance management

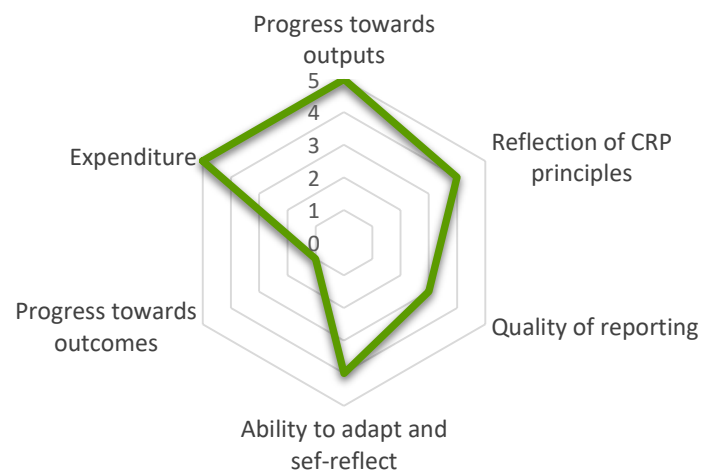


RBM focusing on iterative processes & built-in:

- Looped learning
- Monitoring compliance to set standards
- System for adaptive management
- Project evaluation (traffic light)
- CRP mapped into SRF outcome targets
- Modular MEL



Program/ Project Evaluations



Overall score: 3.1

Thank you

Philippe Ellul, Tonya Schuetz (SMO)

Michelle Guertin (CIMMYT/MAIZE & WHEAT CRPs)

SC 4 (Amsterdam), 11 May 2017