



CGIAR System-Level Results Reporting: Progress and Plans

Purpose

This document presents to the System Council for its 5th meeting an update on CGIAR reporting on progress and outcomes, including a proposal for common CGIAR progress reporting indicators and an Annual Performance Report, supported by the following three annexes:

Annex 1: Common results indicators - mock-up of table for presentation in an Annual Performance Report

Annex 2: CGIAR contribution to SLO Targets – mock-up of a proposed table to be included in an Annual Performance Report

Annex 3: Example of planned dashboard

Action Requested

The Council is requested to consider, and if thought appropriate:

1. Endorse for the period 2017-2022, common results indicators as the standardized method of system-wide aggregated reporting results; and
2. Endorse the concept of a CGIAR Annual Performance Report and results dashboard.

Document category: Working document of the System Council

There is no restriction on the circulation of this document

Prepared by: System Management Office

- A. A common results indicator set for the CGIAR System
1. CGIAR's Funders – particularly those providing System-level (W1&2) funding – require regular System-level quantitative monitoring of outputs and outcomes based on trustworthy data. Different types of CRPs will report on specific indicators related to their own research context, but a way of adding up the results from different types of research in a meaningful fashion for CGIAR as a whole is also required - one that reflects the interdependent and coherent nature of its research Portfolio.
 2. Based on consultation with research leaders and CGIAR Monitoring and Evaluation specialists through the MELCOP¹, as well as a selection of Funders, a set of common results indicators has been identified for the purpose of high-level, consistent quantitative reporting.
 3. Seven principles governed the selection of the common results indicator set:
 - a. Aggregable indicators relevant to all parts of the System that produces diverse outputs (for example, 'people benefiting' rather than 'varieties released')²;
 - b. A representative range of indicators sufficient to demonstrate progress in the spheres of control, influence and interest of CGIAR³;
 - c. Indicators which include current and projected results from the ongoing research program⁴, to complement adoption and impact data collected on past research;
 - d. Demand from Funders for some specific indicators;
 - e. Finding an optimal balance between transparent reporting and maintaining a focus on cost-efficiency;
 - f. Availability of credible, robust data based on checkable evidence (*note*: a guidance manual will specify definitions, data sources, quality and responsibility for quality checks); and
 - g. Indicators can be reported on through (in future) automated Management Information Systems, not as a separate exercise (as well as reducing the work required, this will also allow dis/aggregation and reporting against areas of interest, such as sub-IDOs, Funders, or flagships).
 4. An important lesson from the past, however (both in CGIAR⁵ and elsewhere) is that these indicators should not be used mechanistically to compare research programs or in decision-making on funding. Mechanistic approaches encourage gaming of indicators (for example, outputs, publications and varieties can multiply when their number is considered as an indicator of success) and offer perverse incentives to focus on what is easy to measure (e.g. peer reviewed papers) as opposed to sustained outcomes (adoption and impact).
 5. Table 1 below sets out the proposed common results indicators. A mock-up of these as they may be reported in the Annual Performance Report is set out in Annex 1.

¹ CGIAR Monitoring, Evaluation and Learning Community of Practice

² A few additional indicators which are of potential interest to Funders but only reportable by a few CRPs, e.g. livestock or water, may also be included in CGIAR annual reporting – specifics are under discussion.

³ See conceptual framework in SC3-03, 17 Nov 2016 http://www.cgiar.org/wp-content/uploads/2016/11/SC3-03_Towards-PerformanceMgmtSystem_17Nov2016.pdf

⁴ Following best practice from the International Development Innovation Alliance of Funders, IDIA <https://www.globalinnovationexchange.org/resources/insights-measuring-impact-innovation>

⁵ Immonen and Cooksy (2014) Using performance measurement to assess research: Lessons learned from the international agricultural research centers <http://journals.sagepub.com/doi/abs/10.1177/1356389013517444>

Table 1: Proposed list of common results indicators

Sphere	Indicators	Proposed disaggregates	Proposed data source	Proposed reporting responsibilities
Interest (devt. outcomes/ impacts)	Global progress towards SLO targets together with narrative and numbers on evidenced, at-scale uptake/use/benefits from <u>past</u> CGIAR investments (<i>Included here for completeness, but not an ‘indicator’ – see paragraph 6 and annex 2</i>)	n/a	SDG and other international indicators (under discussion) plus... narrative with evidenced impact numbers from relevant studies.	Collation of SDG/other target data carried out by SMO. CRPs and SPIA report annually on appropriately-evidenced <u>at-scale</u> adoption, outcome & impact studies with numbers. (Including extrapolations from models if relevant).
Influence (research outcomes)	1. Projected uptake: ex-ante assessment of people to benefit from current investments: “Recommendation domain”	Sub-IDO ⁶ , geographic, innovation type (variety/policy etc.), field, gender	Ex-ante assessments/ estimates, self-reported: only for outputs in transition to scaling (late <i>pilot/scaling stage /policy</i> projects/activities). New indicator, introduced gradually.	Ex-ante assessments by project managers of late pilot/scaling/policy outputs, in agreement with Flagship leaders. Reported only at beginning of project, can be updated if new data available. Via MIS in future.
	2. Projected uptake: ex-ante assessment of hectares to benefit from current investments: (Particularly relevant to NRM work e.g. forests)	Sub-IDO, geographic, innovation type (variety/policy etc.), field, gender	As previous. New indicator, introduced gradually.	As previous. To be decided: if projects need to report both #1 and #2 or can choose the most relevant.
	3. Number of policies/ laws/regulations/ budgets/ investments/curricula (and similar) modified in design or implementation, informed by CGIAR research	Sub-IDO, scale (international, national/local etc.), field	Self-reported with name of policy/investment/etc., evidence	Reported annually by projects in agreement with Flagship leaders. Via MIS in future.
	4. Altmetrics: A measure of policy, media and social media interest/use which can covers all publications, not only peer- reviewed. Example: https://www.altmetric.com/details/8577836#twitter-demographics	Media, social media, downloads etc. (and other disaggregates tbc)	Platform of choice (automatically picks up any document with a doi or in CGspace or other approved repository) New indicator, introduced gradually.	Can be collected annually directly by SMO or collected from CRP information managers. Scientists, comms people or librarians would be responsible for allocating doi or putting in an approved repository to ensure publications are picked up by altmetrics software.
Control (outputs/ activities)	5. Number of participants in CGIAR activities (called ‘direct reach’ by some funders)	Type of activity, geographic, innovation type, field, geographic, gender, sub-IDO, End-user/ next-user, new/ongoing	Self-reported numbers New indicator, introduced gradually.	Annually reported by project and activity managers in agreement with Flagship leaders, based on monitoring data Via MIS in future.
	6. People trained (a subset of #5 of particular interest to some funders)	Gender, long/short training, current/new	Self-reported	Reported annually by projects in agreement with Flagship leaders. Via MIS in future.
	7. Number of innovations by phase (development of innovations, piloting if relevant, available for uptake, uptake by next users)	As for #1, for innovations in available for uptake/ uptake by next users phases	Self –reported with name of innovation or significant finding, and evidence.	Reported annually by projects in agreement with Flagship leaders. Via MIS in future
	8. Number of peer reviewed publications	Sub-IDO, scale (international, national/local etc.), field	Institutional repositories	CRP information managers/ Librarians

⁶ Sub-IDO refers to a “Sub-intermediate development outcome”, defined in the CGIAR Strategy and Results Framework 2016-2030 as research outcomes adopted by immediate users such as National Agricultural Research Systems (NARS) researchers and national policy makers.

B. An Annual Performance Report and Results Dashboard

6. To better and more systematically capture the performance of the Portfolio, CGIAR will produce an “Annual Performance Report on CGIAR Research”, piloting the first one in mid-2018, which in future will be made available annually. Its content will be based on the reporting requirements set out in the CGIAR System Framework, the Charter of the CGIAR System Organization and the Standard Provisions attached to the Funding Agreements and Arrangements entered into by the System Organization with each Funder. The consolidated report will:
 - a. Report against the common results indicators, alongside a table with contextual global-level data on progress at the SLO target level, and a narrative and numbers on the CGIAR contribution (see mock-up in **Annex 2**);
 - b. Provide CGIAR Portfolio reporting and analysis based on a common template;
 - c. Summarize key results from SPIA, CRP or Center sources including evaluation and review work undertaken within CGIAR as requested by the System Council and by external partners (understanding that these are assessments of prior performance and not exclusively annual measures);
 - d. Provide financial analysis and an aggregated annual financial report for the System Organization and Centers which will include a financial summary based on the audited financial statements of the System Organization and Centers, and a financial summary of each CRP and Platform; and
 - e. Provide reporting on gender in the workplace every two years or as relevant.
7. Once the IT systems have been appropriately aligned, the aim is to also produce a results dashboard that will be closely aligned to the CGIAR Annual Performance Report - where it will be possible to drill down beyond top-level information and indicators to underlying details, and which can be interrogated at any time of year. This will require some significant IT investment. (See Annex 3 for a mock-up dashboard).
8. Reporting on 2017 progress will use the full reporting indicator set to the extent possible. However, some indicators (as noted in Table 1 above) are new and will be introduced gradually, so reporting on those will be incomplete for the 2017 reporting year (delivered in mid-2018). Some indicators will be piloted in 2018, which may result in some modifications of detail.

C. Next Steps

9. Proposed next steps on CGIAR system-level results reporting are:

Next step	Proposed deadline
Approval of common results indicators	This meeting
Guidance manual on indicators, with definitions and data sources	December 2017
2017 CGIAR Annual Performance Report	Mid-2018
Updating MARLO and other MIS systems	Q2-3 2018
Preliminary results dashboard available via online portal	Q4 2018

10. On the broader question of performance-based management (PBM), this is the core business of Centers, CRP management units, and the System Management Board. Consideration of gaps in performance-based management is behind many items on the agenda of the System Council's 5th meeting: it is the core element of the proposed Business Planning Cycle, the proposed Allocation Strategy, the proposed Risk Management Framework, and the work underway on system advisory and evaluation needs and functions.

11. However, further reflective work is being carried out on how to strengthen PBM. As the second phase of its work on PBM (following the development of a set of common indicators), a process has been initiated to review current data and information needs, capacities and practices in relation to the different business processes relevant for PBM. This analysis will be completed in early 2018, and will inform a discussion on PBM by the System Management Board regarding the development of the potential business plan next year for the 4-year business cycle proposed for 2019 onwards.

List of Annexes

The following pages set out three annexes of materials as referenced in the document:

Annex 1: Common results indicators - mock-up of table for presentation in an Annual Performance Report

Annex 2: CGIAR contribution to SLO Targets – mock-up of a proposed table to be included in an Annual Performance Report

Annex 3: Example of planned dashboard

Annex 1 – Common results indicators - [mock-up of table](#) for presentation in an Annual Performance Report

Sphere	Indicators	Mock-up: example of types of data to be presented in the annual report <i>(Please note that these are imaginary numbers and text for illustrative purposes. Real numbers would be more precise.)</i>
Influence (research outcomes)	1. Projected uptake (people) from current investments (outputs at user-ready or scaling stage)	40m people from projects currently in scaling/late pilot phase, of which: 17m are from varietal releases and scaling 10m from nutrition policy in south Asia 15m from water management in east Asia....
	2. Projected uptake (people) from current investments	30m ha, of which: 15m in climate change adaptation 10m in other forestry 5m in rangelands...
	3. Number of policies/ laws/ regulations/ budgets/ investments modified in their design or implementation, informed by CGIAR research	2 major international policies, including the XXX policy on animal and human health 20 national policies including 10 on nutrition, 9 on climate change and 1 on food safety 5 major investments, including a large World Bank water program... 2000 sub-national policies ...
	4. Altmetrics	20k mentions of CGIAR research outputs, including news (5,000), policy documents (1,000) The papers most cited by international policy makers were on XX and YYY... Scores can be explored here: (link).
Control (outputs)	5. Participants in CGIAR activities	1.5m new +ongoing, of which: 1,4m end-users (30% women) in on-farm trials, farmer field days and similar 100k 'next users' (25% women) in innovation platforms, policy workshops and similar...
	6. People trained	Long term: 2,348 (Men: 1,439 and Women: 909) Short term: 431,207 (Men: 239,496 and Women: 191,711)
	7. Number of innovations by phase (from current research program)	20000 in development of innovations phase 1000 in piloting phase 100 available for uptake: see table XX [list of innovations/findings ready for use] 50 for uptake by next users, see table YY [list of innovations/findings in use]
	8. Number of peer-reviewed publications	1,500 of which ... [disaggregation by key topics etc.]

Annex 2 – CGIAR contribution to SLO Targets - Mockup of part of proposed table for inclusion in Annual Performance Report

SLO Target (SLO2 shown as example)	Potential indicator to track international progress (EXAMPLES – SPECIFIC INDICATORS STILL UNDER DISCUSSION)	Recent evidence on CGIAR contribution (NB. A mixture of real and imaginary examples of impact studies in this mockup)
SLO2: Improved food and nutrition security for health		
2.1. Improve the rate of yield increase for major food staples from current <1% to 1.2-1.5% per year	Volume of production per labor unit by classes of farming/pastoral/forestry enterprise size (SDG indicator) Yield per hectare by country and commodity – FAOSTAT	Kazakhstan is among the world’s top 10 countries in terms of area under zero tillage. CIMMYT, FAO and World Bank experts analyzed the state of CA adoption and wheat production and found that spring wheat yields are as much as 58% higher under zero tillage introduced by WHEAT than with conventional technologies. [original citation to be added] Chickpea production in Myanmar has increased by 19% (11% increase in area, 9% increase in productivity) in the five years to 2016, and is dominated by 5 early maturing varieties derived from ICRISAT genebank materials (43% Yezin 3, 20% Yezin 4, 16% Yezin 6, 16% Yezin 8 and 1% Yezin 11) GLDC Phase 1 report based on [original citation to be added]
2.2 30 million more people, of which 50% are women, meeting minimum dietary energy requirements	Share of population / women whose caloric intake is sufficient. (SDG indicator – FIES)	*(Imaginary example) Increased consumption of bananas and root crops....
2.3 150 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	Percentage of women of reproductive age (15-49) with anemia (DHS data)	*(Imaginary example) Adoption of improved livestock practices in East Africa led to increased consumption of Animal Source Foods and reduction in anemia in an estimated 1.2 million women and 1 million men (Reference, 2017) Biofortified orange fleshed sweet potato varieties (125 grams per day meets the daily vitamin A requirement of a child under five) have been disseminated to an estimated 2.89m households in 12 SSA countries (RTB phase 1 report based on Low, 2013 and Brauw 2016).

Annex 3 – Example of planned dashboard

Results Dashboard Mockup - 1



CGIAR Dashboard

CGIAR

Link to

Where and how we work

Click a country to see research and partners

Research progress

Research outputs by phase:
Research / testing / available / in use

Click on a bar to see details

Publications and influence

Attention score: click for details

Find outputs, outcomes and impacts by:

SDGs

IDO/sub-IDO

Area/Country

CRP/Platform

Centers/partners

Our Funder

Clicking bar takes you to database of innovations

By SDGs

By CRP/Platform

AFR CRP	CRP	Platform
1.1 CRP	2.1 CRP	CR
1.2 CRP	2.2 CRP	CR
1.3 CRP	2.3 CRP	CR
1.4 CRP	2.4 CRP	CR
1.5 CRP	2.5 CRP	CR
1.6 CRP	2.6 CRP	CR
1.7 CRP	2.7 CRP	CR

By Area/countries

Region: Southeast Asia, Latin America, Sub-Saharan Africa, North America, Other

By IDOs/sub-IDOs

IDO/sub-IDO	Counting Issues

Results Dashboard Mockup - 2



SLO1: IDO 1: Enhanced small market...
Sub-IDO: 1.2.2 Reduce market barriers

Narrative:

System level outcome stories:
(with hyperlink for evidences)

- Livestock Livelihoods & Agri-Food Systems (LS FP5)
- Upgrading rice value chains (Rice FP3)
- Inclusive and Efficient Value Chains (PIM FP2)

Progress of PIM FP2 towards Sub-IDO: 1.2.2

Project E: -----

Performance

Data from outcome and impact assessments

Data from project MIS systems

5th CGIAR System Council meeting
9-10 November 2017, Cali, Colombia

SC5-05
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