

# Discussing the follow-up to evaluations: Exploring two key questions

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Purpose: To support strategic discussion and planning by the Board on:

- (i) Evaluation finalization processes
- (ii) Optimal processes for making use of evaluation recommendations.

Action requested: The System Management Board is asked to discuss the various elements outlined, as well as other possible questions, and provide guidance on building an optimal process around evaluation recommendations.

Version: 11 December 2017

# SC and SMB evaluation functions set out in the Framework and Charter re topics today



<i>Functional areas of Evaluation</i>	System Council (from CGIAR System Framework)	System Management Board (from Charter of the CGIAR System Organization)	System Management Office (from Charter)
<i>Planning</i>	Approve a cost-effective multi-year evaluation plan proposed by IEA covering evaluation of the CGIAR Portfolio 6.1(cc)	Coordinate with Center Boards and IEA plans to periodically commission governance and management reviews of Centers to complement the evaluations of the CGIAR Portfolio and submit such plans to the system Council for endorsement 8.1 (ss)	
<i>Review and response to evaluations</i>	Review and endorse IEA <b>evaluations of the CGIAR Portfolio, functions and structures</b> , taking into account <u>input from the System Management Board and Center management responses 6.1(ff)</u>	<ul style="list-style-type: none"> <li>Review IEA <b>evaluations of the CGIAR Portfolio, functions and structures</b> and <u>provide comments to the System Council</u> for its consideration 8.1(tt)</li> <li><u>Coordinate management responses</u> to the System Council on IEA <b>periodic (8-10 years) independent evaluations on the effectiveness of the CGIAR System</b> to deliver on CGIAR's mission and vision 8.1(uu)</li> </ul>	Coordinate preparation of a management response to the System Council on <b>system-wide evaluations 11(kk)</b>
<i>Cost-efficiency</i>	In consultation with the System Management Board, work toward cost-effectiveness and complementarity in the overall system of evaluations reviews at all levels 6.1(hh)	In consultation with the System Council work toward cost-effectiveness and complementarity in the overall system of evaluations reviews at all levels 8.1(ww)	
<i>Implementation</i>			Monitor implementation of decisions arising from evaluations of CGIAR Research 11(II) <sup>2</sup>

# Discussion 1: Looking at processes around review and response to evaluations

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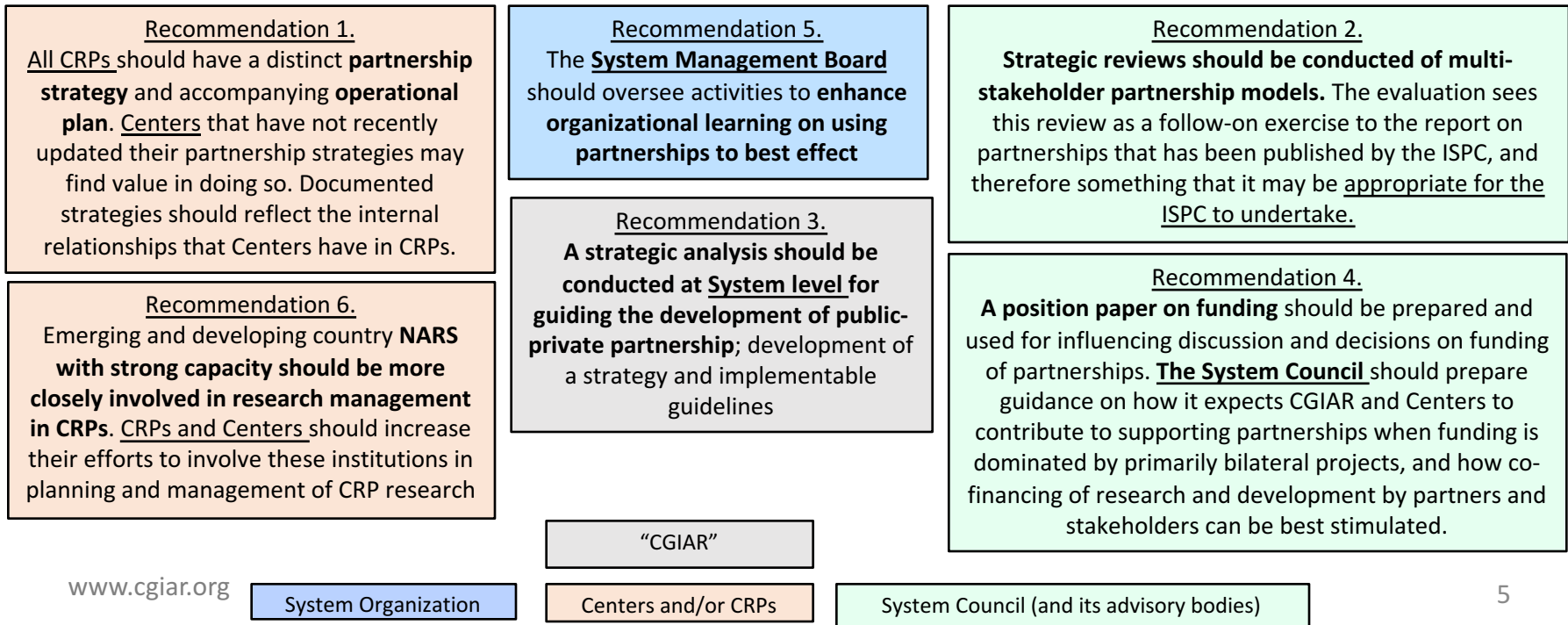
Objective: Gaining clarity on evaluation finalization processes

# 1a. The ask: IEA outlines different types of evaluations and finalization processes

Type of evaluations	Management response requested from:	Suggested inputs by:	To:
CRP & Platform evaluations	The <u>lead Center Board</u> in coordination with participating center boards is responsible for responding to the recommendations made in the CRP evaluations	The SMB to provide a commentary on matters raised in the CRP evaluation that relate to System level	* First to SIMEC for commentary
Cross-cutting/ thematic/ system-wide policy evaluations	<u>System Management Board</u> . Note: SMB to indicate its support to recommendations aimed at CRPs and Centers and encourage them to implement the recommendations	Consolidating feedback from Center senior management	Then to System Council for endorsement of report and responses
Periodic (8-10 year) evaluation of CGIAR System effectiveness	No indication	No indication	
Advisory Body evaluations	<u>Advisory Body management</u>		

# 1b. The challenge: Being clear on where ownership of a recommendation lies

- Example of the 2017 Partnership Evaluation Recommendations is set out below
- Recommendations are variously directed at particular stakeholders, groups and sometimes ‘CGIAR’
- Taking note of Principle 12 from the CGIAR System Framework on subsidiarity, it is important to recognize the mandates and roles of various groups across the System.



# 1c. The question: Clarifying responsibilities and processes for responding to evaluations

- Where does the Board see the scope of its mandate?
- What are the appropriate processes for responding to evaluations, particularly for cross-cutting evaluations, where accountabilities are much less clear? Are any of the scenarios optimal?

Scenarios	Possible benefits	Possible challenges
a. The System Management Board <u>comments on the evaluations</u> from its own position only, indicating what it supports for other groups	<ul style="list-style-type: none"> <li>• Time efficient</li> <li>• Single response</li> </ul>	<ul style="list-style-type: none"> <li>• Potential lack of ‘ownership’ of various recommended actions</li> <li>• Potential difficult in taking into account the mandate of various entities</li> </ul>
b. The System Management Board <u>develops a coordinated response</u> to the evaluations by collating comments from various entities	<ul style="list-style-type: none"> <li>• Highly collaborative</li> <li>• Single response</li> <li>• Inclusive, and being able to represent various mandates</li> </ul>	<ul style="list-style-type: none"> <li>• Time intensive</li> <li>• Requires heavy coordination</li> <li>• Possible need for balancing between response/comments received</li> <li>• Doesn’t necessarily establish appropriate ‘ownership’</li> </ul>
c. The System Management Board <u>provides a response to evaluation recommendations specific to the Board</u> , with other groups responding to those recommendations specific to them separately.	<ul style="list-style-type: none"> <li>• Establishes ‘ownership’ for evaluation recommendations</li> <li>• Fully utilizes the principle of subsidiarity</li> </ul>	<ul style="list-style-type: none"> <li>• Disaggregation of overall evaluation into different responses</li> <li>• Potentially requiring coordination</li> <li>• Possible mismatch of timing for individual entity processes</li> </ul>

## Discussion 2: Looking at implementation of evaluation recommendations

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Objective: Finding strategic ways for moving evaluation  
recommendations forward

## 2a. The ask: Strengthening CGIAR

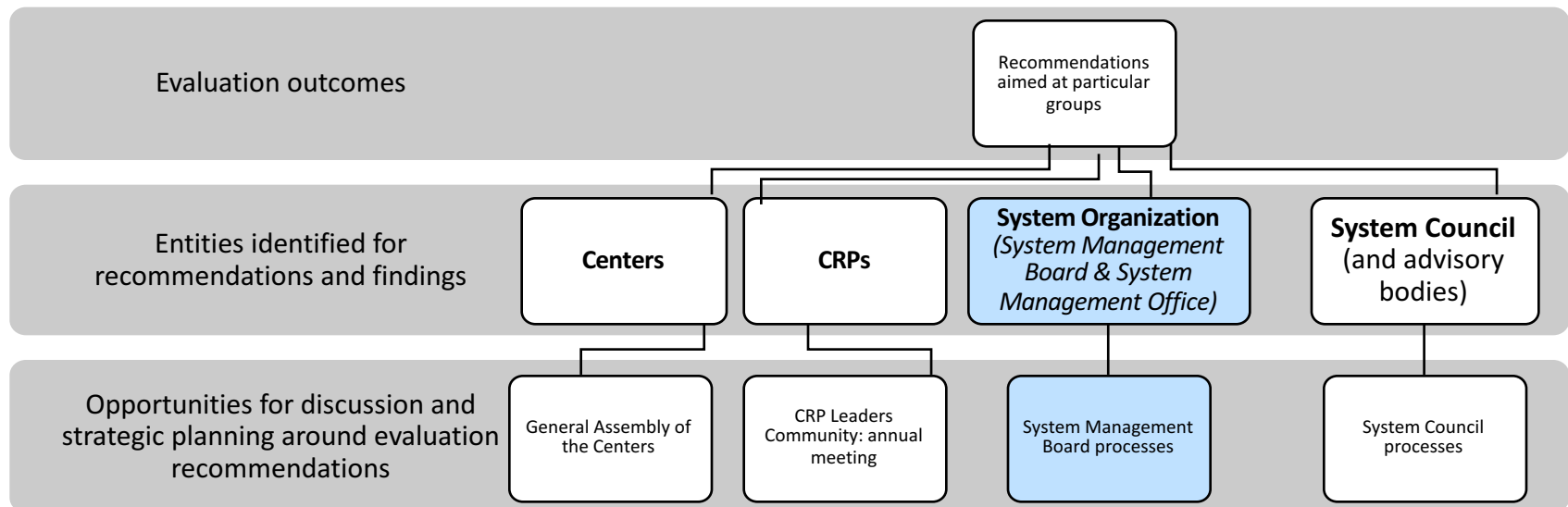
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The IEA has delivered 7 evaluations/reviews during 2017 regarding the Portfolio - with many recommendations\* suggesting actions for strengthening parts of the System:

- Genebanks CRP (11\*)
- Gender: (i) in research (10\*) and also (ii) at the workplace (9\*)
- Capacity Development (7\*)
- Partnerships (6\*)
- Results-Based Management (5\*)
- Review of CGIAR Intellectual Assets Principles (4\*)



## 2b. The question: Optimizing timing and ownership regarding implementation



## 2c. Aligning implementation: Build in agreed actions into a strategic multi-year cycle

	<b>Preparatory year (2018)</b>	<b>Year 1 (2019)</b>	<b>Year 2 (2020)</b>	<b>Year 3 (2021)</b>	<b>Year 4 (2022)</b>
<b>Business plan/SRF</b>	4-year (2019-22) business plan prepared	Launch implementation of business plan	November SC – mid-term review of business plan implementation	Planning for 2023-26 business cycle November SC – more detailed review of business plan implementation and lessons learned + initiate SRF review	Finalization and initial green-light of 2023-26 business cycle at Spring SC meeting November SC - agree new 4-year SRF and business plan for next cycle
<b>Budgeting</b>	Implement the building blocks for the allocation strategy, and November SC agree 4-year CRP + platform + system entities forward indicative budgets	Light forward looking annual budget review for 2020	Mid-cycle forward looking budget review for 2021-2022	Light forward looking annual budget review for 2022	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider key recommendations for CGIAR agenda (e.g A comprehensive capacity development agenda is needed)         </div>
<b>Funding</b>	Voluntary multi-year pledging process (total amounts + at CRP/Platform level)	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Integrate recommendations on reporting into new reporting templates and products being designed (e.g Rec 7- revise Capacity Development reporting)         </div>		Annual contributions (and annual pledging for relevant funders) Planning of multi-year pledging process for 2023-26 cycle	
<b>Scientific Programming</b>	For first cycle: continue with 2017-2022 Portfolio (amended and improved as appropriate)	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider suggested reviews from Evaluations (e.g Review of innovation platforms)         </div>		November SC - Commission development of next round of 4-year research themes/programs + set criteria for independent review	decision on a new round of 4-year research themes/programs
<b>Performance reporting</b>	Pilot Annual performance report	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider suggested reviews from Evaluations (e.g Review of innovation platforms)         </div>		Annual performance report on 2020	Annual performance report on 2021
<b>Evaluation</b>	Agree evaluation plan for 4-year cycle	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider suggested reviews from Evaluations (e.g Review of innovation platforms)         </div>		Completion of planned evaluation	Use recommendations in development of guidance for next round of research programs(e.g All CRPs should have a partnership strategy)
<b>Foresight</b>	Foresight event at November 2018 SC	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider suggested reviews from Evaluations (e.g Review of innovation platforms)         </div>		End-year – major foresight publication/science event frame SRF revision + strategic next 4-year research cycle	
<b>Impact Assessment (past research)</b>	Align funding and work plan for SPIA to 4-year business planning cycle	<div style="background-color: #4CAF50; color: white; padding: 10px; text-align: center;">           Consider suggested reviews from Evaluations (e.g Review of innovation platforms)         </div>		Lessons learned from SPIA major impact assessments research to inform broader conversation on CGIAR's r	