

Document SC7-05 Agenda Item 10 Issued: 2 November 2018

Revisiting past evaluations/reviews for the System Council to provide strategic direction at SC7 on a selection of evaluations

<u>Purpose</u>: To facilitate a process for the System Council to revisit a sub-set of recent past non-CRP/Platform evaluations and reviews to be able to provide strategic direction for the benefit of the System.

<u>Prepared by</u>: The System Management Office at the request of the Chair of the System Council's Strategic Impact, Monitoring and Evaluation Committee (SIMEC)

Document category: Working document of the System Council.

There is no restriction on the circulation of this document.



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- 5. Two evaluations to consider through a lighter touch approach
- 6. Roles moving forward

Annexes with additional materials



1A: Overall operational and governance context: 2012 to current

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CGIAR's Independent Evaluation Arrangement

System Council's Strategic Impact, Monitoring and Evaluation Committee ('SIMEC')

- Full mandate set forth in <u>CGIAR Policy for</u> <u>Independent External Evaluation</u> (January 2012)
- Mission to promote accountability, knowledgesharing, learning and a culture of evaluation across CGIAR, whilst assessing the extent to which CGIAR research efficiently contributes to CGIAR's objectives
- Evaluations undertaken by independent evaluation teams, with the evaluation team leader having final responsibility for all findings and recommendations, subject to adherence to CGIAR Evaluation Standards
- Evaluation planning built around a biennial rolling unified work plan for independent evaluation that is developed by the Head-IEA in full consultation with all entities of the CGIAR system and with donors, partners and beneficiary representatives

Selected provisions From the System Council approved SIMEC <u>Terms of Reference</u> (since May 2017)

- 6. Evaluations and Impact Assessment. SIMEC shall advise and make recommendations to the System Council related to the System Council's:
 - b. **Review and endorsement of IEA evaluations** of the CGIAR Portfolio and functions and structures of the CGIAR System, taking into account input from the System Management Board and Center management responses
 - c. Monitoring effective implementation of ISPC and IEA recommendations with regards to CGIAR Research Programs ("CRPs") and Platforms



1B: Overall operational and governance context: 2012 to current

Selected principles in the current CGIAR Policy for Independent External Evaluation include:

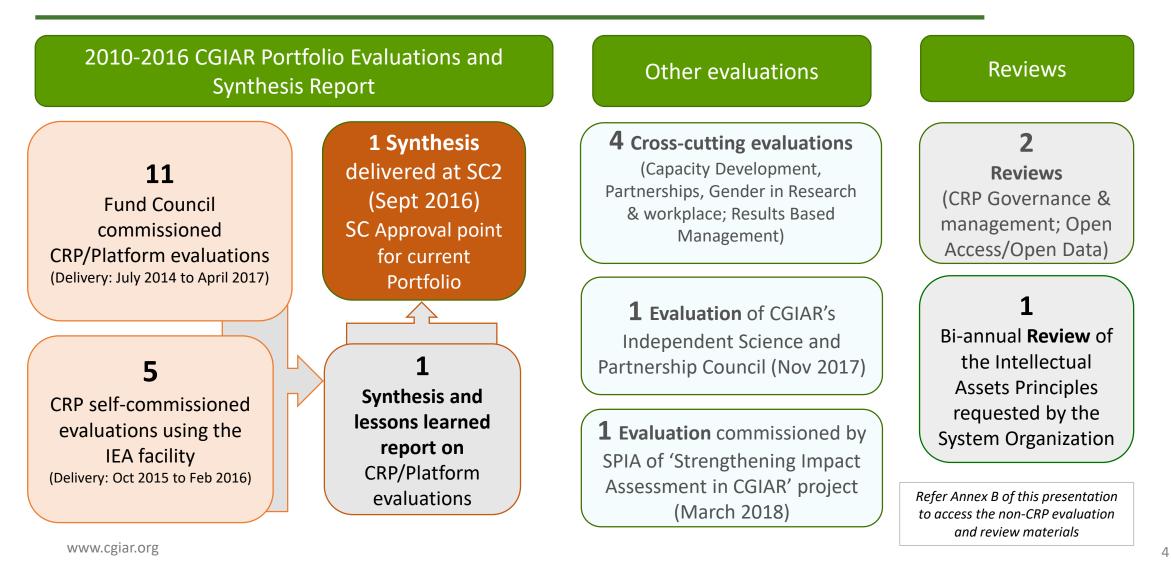
- <u>Article 3.7</u> There is a formal requirement for a <u>management response</u> to the evaluation's findings and recommendations <u>and reporting after a suitable interval</u> on the implementation of agreed follow-up
- <u>Article 6.1:</u>
 - Evaluation is <u>responding to immediate needs of major stakeholders</u>, in particular, the Fund Council, Consortium and managers*; and
 - There is <u>overall efficiency in the use of evaluation resources</u> and accountability for evaluation outputs

Article 6.3:

• The Fund Council* will ensure that the <u>work program of the IEA fulfils the commitments of this</u> <u>Policy</u> and is fully funded. The <u>target and ceiling budget</u> to be progressively achieved for the central IEA evaluation budget will be in the order of one percent of CGIAR Windows 1 and 2.



2. Recap of past evaluations relevant to 2010-2016 Portfolio and cross-cutting topics + other reviews





3A. SIMEC approach to identifying 4 past evaluations for SC7

- Taking stock of the 2017/2018 non-CRP evaluations/reviews and management responses to date
- Engaging with IEA on how to select and bring evaluations to the System Council meeting
- **Considering evaluation/review perceived level of contribution to change in CGIAR** to determine the scope of opportunity to provide further strategic guidance for the System *(methodology at Annex A)*
- Identifying if there are other processes ongoing that will take up and take forward the findings and recommendations of the evaluations: e.g.
 - <u>ISPC evaluation</u> informed System Council decision on new Independent Science for Development Council
 - <u>SIAC evaluation</u> is relevant to the System Council's consideration of the 2019-2021workplan and budget proposal from the Standing Panel of Impact Assessment (Meeting document SC7-P, agenda item 10).
 - Intellectual Assets Review informed preparation of CGIAR 2017 Intellectual Assets Report
 - <u>CRP Governance and Management Review</u> discussed at SMB8 and action plan adopted
- Noting 2016 governance transition reforms and the evolving roles of the SC and SMB (refer Part 6 below)



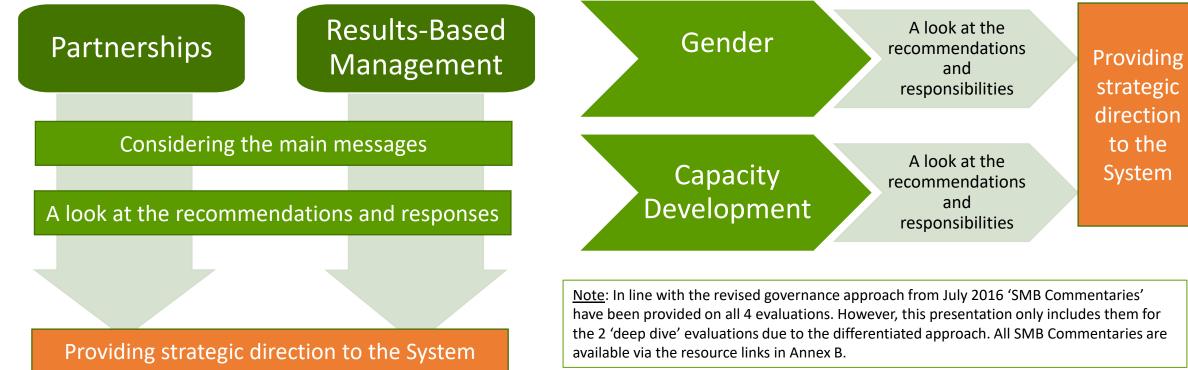
3B: Differentiated approach to the 4 evaluations

In prioritizing evaluations to bring to SC7, four evaluations were identified by SIMEC as important for the System Council to discuss at SC7.

- A 'deep dive' approach would be taken to the top two evaluations identified, in which both the main messages would be considered as well as a look at the recommendations and the response provided by the System Management Board.
- For the other two evaluations, which were considered as happening through other processes, a 'lighter touch' approach would be used to checkin on the recommendations and responsibilities.

A 'lighter touch' approach to:

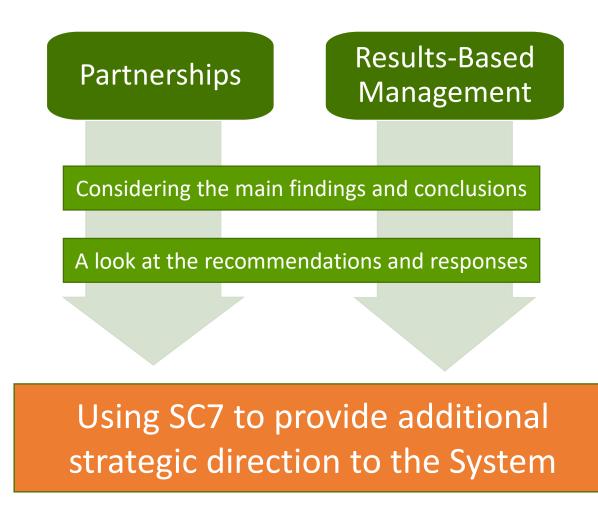
A 'deep dive' approach to:



www.cgiar.org



4. A deep dive on two evaluations





4A: Partnerships evaluation: Main findings and conclusions

- 1. Positive push in the Reform resulting in greater collaboration and coordination in CRPs and greater attention to the strategic role of Partnerships
- 2. Partnerships with Private Sector has increased since the CRPs began although slowly with large multinationals
- 3. Rapid growth in CGIAR engagement in Multi-stakeholder platforms
- 4. Partnership Management: heavy requirements for reporting and accountability while little incentives and guidance
- 5. Scope to include more developing country partners in management
- 6. Diminishing of core funding has been detrimental to partnerships
- 7. Lack of system-wide organizational reflection about partnership
- 8. Limited influence and impacts of GCARD events
- 9. Outputs: large majority of scientific publications done in partnerships with positive effect on science quality but insufficient involvement of developing country partners
- 10. Impacts: Good success stories attributable to partnerships though there is a need for being more selective and focused on CGIAR comparative advantage









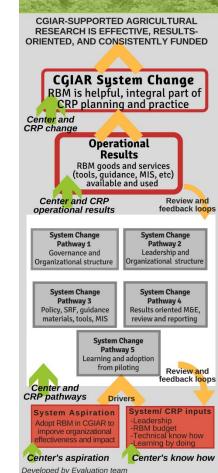
4B. Partnerships Evaluation: Recommendations and responses

Recommendations	SMB commentary (12 December 2017)
1. All CRPs should have a distinct partnership strategy and accompanying operational plan .	<u>The System Management Board agrees with this recommendation</u> , noting that partnership strategies were requested as part of the guidance for the full proposals for the 2017-2022 CGIAR Research Portfolio. The Board also notes that the CRP annual plan of work and budget (POWB) template for 2017 requested information on plans and adjustments to partnership strategies and activities.
2 . Strategic reviews should be conducted of multi- stakeholder partnership models.	<u>The Board supports</u> better sharing and learning on multi-stakeholder partnership models across the System, potentially achieved through encouraging and supporting the CRPs and Centers to engage in a collective reflection on this rather than a formal review which may not capture the time and context specific nature of these models.
3. A strategic analysis should be conducted at System level for guiding the development of public-private partnership .	<u>The Board is a strong supporter</u> of effective public-private partnerships where they can advance achievement of the CGIAR shared agenda, recognizing that the level at which these are engaged in is most often with the Centers. The Board has and will continue to encourage Centers to find appropriate ways to exchange experiences and ideas in this area.
4. A position paper on funding should be prepared and used for influencing discussion and decisions on funding of partnerships.	<u>The Board supports</u> the concept of designing optimal arrangements that guide support to partnerships and co- financing by partners.
 System-wide organizational learning on using partnerships to best effect should be enhanced. 	<u>The Board agrees with this recommendation</u> , noting that the System Organization provides support to activities that bring scientists together cross Centers and CRPs, namely the Science Leaders community and its annual meeting, where exchange and learning on partnerships would be appropriate. The new Annual Performance Report being developed will provide an effective mechanism to capture and showcase key information on partnerships.
6. Emerging and developing country NARS with strong capacity should be more closely involved in research management in CRPs.	<u>The Board agrees</u> that CRPs can benefit from stronger and closer relationships with NARS, recognizing that both capacity and appropriate engagement mechanisms are key elements in directly involving national stakeholders in research management. The Board will encourage CRPs to explore innovative modalities to involve National Agricultural Research Services in their research management.

4C: Results Based management evaluation Main findings and conclusions

- 1. The motivation for and the understood purpose of RBM have been mixed across CGIAR
- 2. CRPs and Centers have generally tried to understand and embrace RBM
- 3. Important progress has been made to adapt RBM for CGIAR's unique context
- 4. The RBM pilots provided important learning for CRPs and Centres
- 5. RBM is presently pulled in two directions within CGIAR which unnecessarily creates tension
- 6. Leadership needs to become more engaged in consciously creating an enabling environment for RBM
- 7. The present investment in the RBM function at different levels of CGIAR is insufficient
- 8. The RBM approach remains relevant to CGIAR and its CRPs





TOC for CGIAR RBM

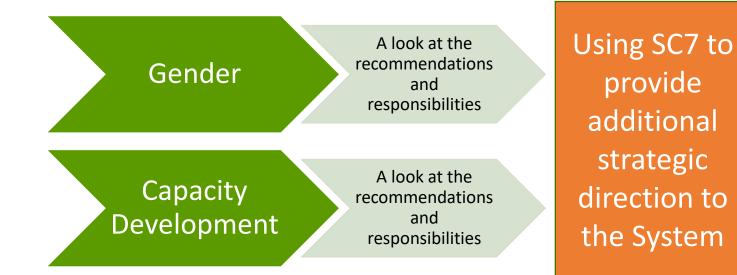
4D: Results Based Management evaluation Recommendations and responses



Recommendations	SMB commentary (12 March 2018)
1. Develop system-level conceptualization and guidance for RBM	<u>The System Management Board agrees with this recommendation</u> and notes that, pursuant to Article 8.1 (ii) of the Charter, a proposal for an integrated framework for a performance management system for the System is being developed by the System Management Office in coordination with other system functions and entities.
2. At System level, decouple budget allocation and performance assessment	<u>The Board partially agrees with this recommendation</u> . While performance assessment is only one of many factors that would influence fund allocation, the Board does not agree that poor performance can be completely ignored and "decoupled" from funding, which seems to be implied by the main heading of the recommendation. On the other hand, the Board agrees with the main thrust of the ideas expressed in the body of the recommendation.
3. Invest in CRP driven, system-relevant Management Information Systems	<u>The Board agrees with the recommendation</u> , recognizing that there are many requirements to be taken into account and to be built on in the development of RBM that serves the needs of the System as a whole. The System Organization is making a financial investment in additional development of a MARLO module to serve as the front end for Management Information Systems (MIS) to be able to contribute to an interoperable dashboard. In doing so, the System Management Office is working closely with Centers and CRPs, including through the MEL CoP, on this development to take into account the needs and resources of the Centers and CRPs, but also with the additional goal of responding to system level reporting needs for funders and others.
 Identify and empower RBM support function at System level 	<u>The Board agrees with this recommendation</u> , given the importance of having strong capacity and vision at System-level to improve data collection, analysis and use of RBM as a key element of an effective performance- based management system, and to be able to provide necessary support to RBM in other parts of the System.
 Develop and implement annual RBM capacity building work plans. 	<u>The Board partially agrees with this recommendation</u> , agreeing that capacity building and learning are necessary in the implementation of specific RBM elements and a wider performance-based management system, but noting that this may be achieved through various pathways.



5. A 'lighter touch' approach on two evaluations



5A. <u>Gender Evaluation Part I</u> - Gender in Research Recommendations for the System and its bodies



System Council	System Organization	Centers
Recommendation 1. System Council adopt an overarching, high-level CGIAR Vision Statement on Gender Equity, covering both gender in research and gender at the workplace.	Recommendation 2. To concretize the overarching vision on gender, the System Management Board should develop and adopt a time bound Policy on Gender in CGIAR Research which sets out expectations and shared commitments of both Centers and CRPs.	
	Recommendation 3. The System Management Board give consideration to maintaining or strengthening the capacity of system level bodies	<u>Recommendation 8</u> . <u>Centers</u> (and CRPs where possible) should invest selectively, and - where appropriate – jointly, in both targeted capacity building of gender specialists in specific technical areas, and capacity building of other scientists to effectively integrate gender into research design.
Recommendation 4. The CGIAR System sh while supporting CRPs to use this funding s	ould maintain its current target of 10 percent for CRP spending on gende trategically and effectively.	er as a minimum requirement,
	<u>Recommendation 5</u> . <u>CRPs</u> should refresh and refocus their gender stra	tegies and/or future work plans
	<u>Recommendation 6</u> . <u>CRPs</u> should protect minimum core capacities in s while further exploring innovative ways of sharing resources and bring	
Recommendation 7. CGIAR should strengthen institutional mechanisms to enhance gender capacity and expertise at system, Center and CRP level.		
	Recommendation 9. The System Management Board should request inputs and proposals from the Gender Collaborative Platform to effectively engender the new PMS	

5A. <u>Gender Evaluation Part II</u> - Gender in the Workplace Recommendations for the System and its bodies



System Council	System Organization	Centers
<u>Recommendation 1</u> . System Council adopt an overarching, high-level CGIAR Vision Statement on Gender Equity, covering both gender in research and gender at the workplace.	<u>Recommendation 2</u> . To concretize the high-level vision statement, the <u>System Management Board</u> should require that the 2015 CGIAR Diversity and Inclusion Strategy be revised.	
 (a) a "Gender "Champion" on the System Manage (b) a Task Force, supported by a consultant, to rev (c) the hiring of a Gender at the Workplace Senior (d) the reestablishment of the Gender at Work Formation 	e the organizational infrastructure, processes and mechanisms and ment Board; ise and update the 2015 CGIAR Diversity and Inclusion Strategy; Advisor to provide expert advice and support to the System Mana cal Points in the Centers to assist their Senior Administration move upport this organizational infrastructure for its first year of operat	agement Board and individual Centers; e their strategy forward;
	nclusion Community of Practice should be established to enable n est practices, collectively maintain a web-based resource and con	
Recommendation 5. A comprehensive System-wid	le Training Program for working with diversity and implicit bias sh	ould be developed and customized for CGIAR.
	<u>Recommendation 6</u> . The <u>System Management Board</u> should require reporting every two years from the Centers on progress against the key performance indicators	Recommendation 7. All Centers should develop a compelling case outlining the benefits of gender diversity for their organizational performance
		<u>Recommendation 8</u> . <u>Centers</u> should move beyond policies to take a more proactive and systematic approach to strengthening diversity and inclusion at the levels of practice and behavior.
		Recommendation 9.Centersshould prioritize buildinginclusive workplaces14

5B. Capacity Development evaluation Recommendations for the System and its bodies



System Council	System Organization	Centers	
	he leadership of the System Management Board, <u>CGIAR</u> should develop and co its research and development partners.	ommit to a comprehensive capacity development agenda, in line with	
	Recommendation 2. Centers and CRPs should base their medium-term on clear capacity development strategies and incorporate capacity		
	Centers, particularly with regard to their scientific staff and amenities	ould aim at taking full advantage of the experience and facilities of the , and training of local end users and communities should be velopment providers to ensure better relevance and focus and greater	
	<u>Recommendation 4</u> . <u>Centers and CRPs</u> should build on successful partnership approaches, such as the facilitation of collaborative multi- stakeholder networks and multi-donor programs and platforms, to ensure that capacity development has the required long-term perspective and is relevant to and owned by the stakeholders and entities that strengthen their capacities.		
	hould systematically review the existing experience on innovation platforms ge-scale adoption of CGIAR's research products.	to establish how effective they are as a means for CGIAR to make CD	
	Recommendation 7. The System Management Office should revise capacity development-related reporting requirements and put emphasis on reporting against strategic and annual planning in a manner that reflects intended purpose, type and modality of capacity development, specifying stakeholder groups targeted	Recommendation 6. CGIAR Centers should, in collaboration with CRP management and through facilitation by the CapDev CoP, integrate adequate capacity development support into their management systems and approaches for ensuring that their capacity development activities are planned, implemented and followed-up in accordance with good practices and in alignment with CGIAR's Capacity Development Framework.	



6. Roles moving forward – Shared Secretariat & SIMEC

Mandate of the Shared Secretariat (extract only)

- 3.4 Supporting implementation of the CGIAR System's multi-year evaluation plan in a manner that meets the CGIAR System's need for rigorous high quality independent evaluations to inform decision making across the System: Aligned to successive multi-year CGIAR Business Plans and in accordance with a CGIAR multi-year evaluation framework that enhances accountability and learning to inform the formulation of new (and course corrections of ongoing) CGIAR Research and other cross-System actions, ensure that the evidence from System Council commissioned independent evaluations is informing decision making across the System at strategic opportunities. CGIAR's Policy for Independent Evaluation as may be amended from time to time sets out the detailed role of how the multi-year evaluation plan will work. Major functional responsibilities include:
- a. Developing, in consultation with CGIAR Centers, program and platform staff, and the System Organization, a cost-effective multiyear evaluation work plan for approval by the System Council, taking into account current and future Center and CGIAR Research program and/or platform evaluation frameworks, strategies and/or plans, and strategic guidance from the System Council and the System

Role of SIMEC (extract only)

- 7.4 Evaluation plan linkages with the System Council: To facilitate effective linkages and engagement with the System Council in respect of implementation of the CGIAR System's multi-year evaluation plan, the following modalities apply:
 - c. As final outputs of external independent evaluations or other agreed activities are available, SIMEC will be the forum for discussing the evaluations and other reports to facilitate structured consideration and endorsement by the System Council on effective responses to such evaluations or reports, to strengthen decision making processes. As relevant to strategic direction setting and ensuring effective implementation of management responses and follow up to evaluations and reports, the System Council may request the System Management Board to formally consider and respond to such material.



6. Roles moving forward – System Council, System Management Board and System Management Office

Roles and responsibilities agreed between CGIAR's Funders and Centers with effect from 1 July 2016 – with a focus on the SMB providing a commentary on evaluations to the System Council for consideration:

CGIAR System Framework	Charter of the CGIAR System Organization	
System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
• Approve a cost-effective multi-year evaluation plan proposed by IEA covering evaluation of the <i>CGIAR Portfolio</i> 6.1(cc)	• Review IEA evaluations of the <i>CGIAR Portfolio</i> , functions and structures and provide comments to the System Council for its consideration 8.1(tt)	 Coordinate preparation of a management response to the System Council on system- wide evaluations 11(kk)
• Review and endorse IEA evaluations of the <i>CGIAR Portfolio</i> , functions and structures, taking into account input from the System Management Board and Center management responses 6.1(ff)	 Coordinate management responses to the System Council on IEA periodic (8-10 years) independent evaluations on the effectiveness of the CGIAR System to deliver on CGIAR's mission and vision 8.1(uu) 	 Monitor implementation of decisions arising from evaluations of CGIAR Research 11(II)
 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) 	



Annexes with additional resources

- A. Typology used to consider evaluation/review contributions to change in CGIAR
- B. Links to evaluations/reviews via IEA webpage



<u>Annex A.1</u>: Typology adopted to identify degree of perceived contribution by an evaluation/review to change in CGIAR

Typology used as a No demonstrable contribution; no contribution yet. The evaluation report Low means of (and response) may have only recently been received/developed. differentiating on the The evaluation has provided information on the topic which has been useful overall perceived for other processes; the evaluation has raised awareness of the topic, some Emergent contribution to change. challenges and some opportunities/options. Note: No individual The evaluation has elevated the topic for deliberation/debate in the system; Moderate weighting was the evaluation material is referenced and used as background resource. undertaken of each recommendation The evaluation material has been a key information and idea resource, and its within an evaluation or recommendations have provided possible pathways for action; the topic of the Considerable evaluation has come up for decision in the system. review. The topic of the evaluation has become a key priority in the system; the Strong evaluation has directly lead to change with key findings and/or recommendations of the evaluation being implemented in change processes.

Scale: Varying types of contribution to change



<u>Annex A.2</u>: Perceived contribution to change per evaluation/review

Table developed and discussed with IEA to incorporate independent view	Evaluation / Review	Contribution	Some examples of contribution and change* (Indicating some links to particular recommendations and responses to recommendations) * based on a scan primarily at the system level
	Gender in Research	Strong	 Selection and appointment of "SMB Gender Champion" (note: for both research and workplace) Inclusion as a key initiative for optimizing the portfolio in the Business Plan 'Gender Breakfast session' at SC7 (note: the evaluation team leader invited as a panel member) + CGIAR Gender Equality Discussion paper (from Funder group) SC7 Agreed Action on elevating the gender platform (Rec 11) Strengthening CGIAR Gender Equality Workplan (Aug-Dec 2018): framework, institutional designs, business plan inputs (Recs 1, 2, 5, 7, 9)
	ISPC	Strong	 A key resource used in the SIMEC-led process to propose and implement future arrangements for CGIAR's advisory services, particularly in the drafting of the terms of reference for the proposed Independent Science for Development Council (ISDC)
	Gender in Workplace	Considerable	 CGIAR Human Resources Community of Practice taking on topic of gender equality and diversity as a priority; developing indicators Inclusion as a key element of action to 'Continually improve people management' in the Business Plan (2019-2021) 'Gender Breakfast session' at SC7 + CGIAR Gender Equality Discussion paper (from a Funder group) Strengthening CGIAR Gender Equality Workplan (Aug-Dec 2018): framework, institutional designs, business plan inputs (Rec 1, 2, 3, 6)
	Partnerships	Moderate	 Private Sector Partnership for Impact Acceleration workshop, 10-12 July 2018 (Rec 3) One of the 10 action items in the Business Plan to be focused on 'Enhancing collaboration with science and delivery partners', with key strategies on country-level collaboration, private sector collaboration and collaboration with science partners Provided useful information for the 2018 Annual Performance Report
	Results-Based Management	Moderate	 Consolidated effort in the System around strengthening the use of MIS systems and the adoption of a system-level MIS, including task team, collaboration events (Interoperability workshop)and a system level results dashboard (Rec 2, 3, 4) Resource material for the development of the Performance-based Management concepts, elements (Recs 1, 2) Considering appropriate capacity development and collective action to support this area (Rec 5)
	Intellectual Assets	Moderate	 Private Sector Partnership for Impact Acceleration workshop, 10-12 July 2018 (Rec 2) A sub-action item in the Business Plan focused on 'deepening private sector collaboration' Identified as a resource to be used in the revision of the ToR of the System Council's Intellectual Property (SCIP) Group
	Genebanks	Moderate	 SMB nominated a member to serve on the Crop Trust Board (Rec 1) and serve as SMB focal point; SMB inputs on Genebank Platform gov & mngt Tailored reporting will be integrated into future Performance Reports
	Capacity Development	Emergent	 A part of CRP reporting, with one of the results indicators on training (Rec 7) Provided information useful for the 2018 Annual Performance Report (Rec 7) CGIAR Country Collaboration included in the CGIAR Business Plan (Rec 4)
	Open Access- Open Data	Emergent	The topic and some recommended actions have been added to the workplan of SMB Note: This was the most recent review/evaluation received. Many actions recommended already planned by the Platform.



Annex B - Accessing evaluation material

All evaluation material can be found on the IEA website at: <u>http://iea.cgiar.org/</u>

Relevant to this presentation, the following are links to evaluation/review specific pages that contain Terms of Reference, inception reports, final reports, summaries, management responses and in some cases videos:

- <u>Evaluation of Results-Based Management</u>
- Evaluation of Gender in Research and in CGIAR workplace
- Evaluation of Partnerships in CGIAR
- Evaluation of Capacity Development activities of CGIAR
- Evaluation of the Independent Science and Partnership Council (ISPC)
- <u>CRP evaluation of Genebanks</u>
- <u>Review of Open Access/ Open Data Policy and support</u>
- <u>Review of Intellectual Assets Principles of CGIAR</u>