

Response Plan to Pilot Assessment of Performance Management Standards

Purpose

The document presents a Response Plan to the Pilot Assessment of CGIAR's Program Performance Management Standards for Board approval. An accompanying background read, the Pilot Performance Assessment 'Lessons Learnt and Recommendations for Future Assessment Exercises' report is provided separately.

Distribution notice:

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Introduction

1. The System Management Board endorsed (SMB/M14/DP4) to develop and deliver an effective Response Plan to the Pilot Assessment findings.
2. The System Management Board is asked to approve the draft Response Plan as part of the Consent Agenda.

Background

3. The draft Response Plan outlines three objectives:
 - i. Optimize delivery against existing Performance Management Standards within the current Business Cycle
 - ii. Define the process to agree new Performance Management measures applicable to the period 2022-2024
 - iii. 'Bake' the new Performance Management measures into One CGIAR's new research modality by end 2021

Current Status

4. SIMEC (January 2020) and SC (March 2020) noted initial framing of System 'Response Plan' requested by SMB14.
5. A 'learning and looking forward' workshop is being held in May with CRP and Platform representatives to optimize delivery against existing Performance Management Standards within the current Business Cycle. Building on Pilot Assessment results, optimization actions will focus on Performance Standards 1 (Adding/Withdrawing projects), 4 (Prioritization of pooled funding) and 6 (Availability of Program/Project information).
6. A stage gate design kickoff workshop is being held in May in support of Response Plan objective (ii).
7. The Monitoring, Evaluation and Learning Community of Practice (MELCOP) is providing support to the process.

Appendix 1 (e.g. draft policy)

Program Performance Management Standards – Draft Response Plan

Summary timeline

Key:	Past/Completed	In progress	Future/To do
Timing	Activity/Decision		
November 2018	System Council approval of 2019-2021 Program Performance Management Standards . Agreed that the evaluation senior specialist in the CGIAR Advisory Services Shared Secretariat is the responsible officer for undertaking periodic independent assessment.		
December 2018	SMB approval of assessment criteria for Standards 1-2 and 4-6		
March-May 2019	Self-assessment against standards undertaken by 5 CGIAR Research Programs (CRPs) and 1 Platform: Agriculture for Nutrition and Health; Big Data in Agriculture; Climate Change, Agriculture and Food Security; Forests, Trees and Agroforestry; Livestock; and Rice		
June 2019	Feedback from self-assessment presented to Science Leaders’ Meeting and lessons incorporated into revised criteria		
October 2019	The System Management Board endorsed (SMB/M14/DP4) a clarification on the information flows and roles regarding the 2019 Pilot Assessment of the 2019-2021 Program Performance Standards for the purpose of developing and delivering an effective Response Plan to the Pilot Assessment findings.		
November 2019	Pilot assessment completed by all CRPs and Platforms. Dalberg Advisors undertook the Pilot Assessment (September-October) under the guidance and management of the CGIAR Advisory Services Shared Secretariat (CAS). Discussion between CGIAR Advisory Services and SIMEC (at Connecting the Dots: Workshop 2 in Chengdu, China) on proposed update to 2020-2021 workplan and budget, including on priority activities for the Evaluation workstream of the CGIAR Advisory Services shared secretariat. Based on early lessons learnt and recommendations from Pilot Assessment and endorsed recommendations for One CGIAR, and the parallel process of the System Reference Group recommendations to the System Council on transition to One CGIAR, SIMEC recommended to conclude the current pilot on the performance management standards but not to move into a subsequent full-scale assessment.		
December 2019	Dalberg Advisors delivered the “ Lessons Learnt and Recommendations for Future Assessment Exercises ” report, containing important findings about (a) The suitability of the standards; (b) The suitability for Platforms; (c) the suitability of the assessment methodology, and (d) Post-2020 suitability.		
January-February 2020	Based on guidance, CGIAR Advisory Services 2020 workplan finalized for submission to System Council for approval. SIMEC engaged on an early framing of the ‘Response Plan’ that will be focused on: <ol style="list-style-type: none"> Optimizing delivery against existing Performance Management Standards within the current Business Cycle Defining the process to agree new Performance Management measures applicable to the period 2022-2024 Defining the process required to ‘bake’ the new Performance Management measures into One CGIAR’s new research modality by end 2021 		
February-May 2020	Development of a Response Plan, through a process of engagement with SC, SMB, Centers, CRPs, and Platforms . The delivery of the Response Plan will be embedded in the steps to develop a new research strategy and modalities for One CGIAR .		
May 2020	System Management Board consideration of the Response Plan.		
June 2020	At SC10, System Council members will be invited to review the Response Plan, and specifically to agree on the new Performance Management measures to be built into the strategy and modalities for the 2022-2024 period.		
June-November 2020	Further development of research strategy and modalities including ‘baked in’ Performance Management standard measures.		

Introduction

The completion of CGIAR’s Pilot Assessment of its Performance Management Standards (‘Pilot Assessment’) in November 2019 marks a significant step forward in the System’s commitment to improved organizational effectiveness.

The three main objectives of the Performance Management Standards are to:

1. To provide assurance to CGIAR System Funders and other stakeholders that program management standards are high, and that they can invest with confidence
2. To improve program performance management across CGIAR wherever needed
3. To focus program efforts on a limited number of well-defined high-priority areas identified jointly by key stakeholders, in each business cycle, to complement (not replace) the more complex analysis carried out in program evaluations and appraisals.

Dalberg Advisors undertook the Pilot Assessment under the guidance and management of the CGIAR Advisory Services Shared Secretariat (CAS). The time and effort invested by the CGIAR Research programs (CRPs) and Platforms demonstrate that the pilot assessment was treated as a genuine opportunity to improve and contribute to learning across System, program and project levels. Dalberg Advisors delivered the “Lessons Learnt and Recommendations for future assessment exercises” report¹, containing important findings about 1. The suitability of the standards, 2. The suitability for Platforms, 3. The suitability of the assessment methodology, and 4. Post-2020 suitability.

The System Management Board at its 14th meeting (SMB14) confirmed the intention to develop a Response Plan to the Pilot Assessment². The original intent of the Response Plan was to optimize CRP and Platform delivery against the current set of Performance Management Standards prior to the Official Assessment planned for Q3/4 2020. Based on the SIMEC recommendation that the planned Official Assessment be reconsidered³, the Response Plan now incorporates the transition between the current and next approaches to Performance Management, while still ensuring that delivery against existing Performance Management Standards within the current Business Cycle is optimized. Stakeholder engagement (SC, SMB, Centers, CRPs, Platforms, MELCOP) to review and validate the Draft Response Plan’s content is ongoing.

Response Plan Objectives

1. The Response Plan will optimize delivery against existing Performance Management Standards within the current Business Cycle. It will build on Dalberg Advisor’s Lessons Learnt and Recommendations report and best of class performance identified among CRPs and Platforms.
2. The Response Plan will define the process to agree new Performance Management Measures applicable to the period 2022-2024. It will build on the Pilot Assessment results and Dalberg Advisor’s Lessons Learnt and Recommendations report, other relevant sources of performance-related assessment⁴, known One CGIAR research modality features⁵, previous direction setting⁶, and incorporate subject-matter experts from within CGIAR and external partners to deliver a new set of measures to be presented in the 2022-2024 Business Plan.
3. The Response Plan will define the process required to bake the new Performance Management measures into One CGIAR’s new research modality by end 2021. This will likely involve a range of measures such as readiness or feasibility assessments, small scale tests, systems design, and capacity development.

¹ Provided as separate resource

² SMB14-05c

³ SC/M9/EDP6 Annex 3

⁴ E.g. Multilateral Organisation Performance Assessment Network

⁵ SC9-02

⁶ SC7-H

Response Plan Content

1. Optimizing delivery against existing Performance Management Standards within current Business Cycle

An initial “Learning and Looking Forward” workshop is being held on 7 May 2020 to identify specific areas of performance management that can be and are worth improving during the current Business Cycle by Programs and Platforms. Specific performance improvement actions will follow, to be captured as part of the Response Plan. Appetite for a light-touch check in in Q1-2 2021 will be gauged.

2. Agreeing new Performance Management measures applicable to the period 2022-2024

The current set of Performance Management Standards were designed as a stepping-stone to more “challenging standards of excellence in later cycles (2022 and beyond)”⁷. The shift to One CGIAR will entail changes that render the current set of Performance Management Standards largely incompatible with the new System structure (2022-). Selection of Performance Management measures for the period 2022-24 can be informed by:

- Existing good research management practice in CGIAR,
- The Pilot Assessment results and Lessons Learnt and Recommendations report,
- Existing guidance⁸, which points to the type of measures that could be integrated into the next Business Cycle (Quality of Research for Development – QoR4D⁹, International Aid Transparency Initiative - IATI¹⁰),
- The Multilateral Organisation Performance Assessment Network (MOPAN) methodology, which uses a set of tested KPIs relevant to the design of new performance management measures¹¹,
- One CGIAR’s new research modality, which will require use of specific performance management measures (e.g. stage gating)¹², and
- Global standards (e.g. GRI¹³), which may also provide useful input to the selection of new measures.

Annex A highlights aspects to be taken into consideration while designing the next version of the CGIAR’s Performance Management Standards, and an initial direction is outlined below:

- Performance measures baked into One CGIAR research design and delivery. The stipulations for design (criteria for entry) and implementation (stage-gates) of all One CGIAR Projects will address the three objectives of the current Performance Management Standards. In particular, the new modality will involve a performance management system by which transparent and rigorous resource allocation decisions can be made on the basis of expected (at entry) and actual (at delivery) performance. It will incorporate useful and necessary aspects of the QoR4D

⁷ SC7-H

⁸ SC7-H

⁹ <https://cas.cgiar.org/publications/quality-research-development-cgiar-context>

¹⁰ <https://iatistandard.org/en/>

¹¹ <http://www.mopanonline.org/ourwork/ourapproachmopan30/Methodology%20Manual-%20FINAL.pdf>

¹² SC9-02

¹³ www.globalreporting.org

framework¹⁴, risk management, projected benefits¹⁵, scaling readiness¹⁶, and Gender Diversity and Inclusion (GDI) metrics.

- External reporting standards feasibility assessed. This work will undertake feasibility studies around alignment with external standards. IATI provides a benchmark for results and fund flow reporting and will be the subject of an initial scoping exercise. In the longer run, integrated Governance, Strategy, Management and Performance reporting standards such as GRI could provide global coverage for CGIAR, noting that these go beyond results delivery performance management.
- Integrated programmatic and financial planning and reporting. Our existing results and finance dashboards¹⁷ provide a strong foundation for future alignment and provision of quality and transparent integrated performance, results and finance reporting. One CGIAR should expand and deepen the potential to integrate, as shared services develop, data related to finance, grants, assets, results, and broader performance measures into a single interrogable dashboard.

3. Baking in new Performance management measures

New Performance Management measures need to be baked into One CGIAR’s new research modality by end 2021. This will likely involve a range of measures such as readiness or feasibility assessments, small scale tests, systems design, and capacity development. Exact needs TBC based on Response Plan actions 1 & 2.

Response Plan Timeframe

Table 1 provides an indicative timeline for optimization of performance against current Standards, the definition of new Performance measures, and their integration into the strategy and modalities for the 2022-2024 period.

Table 1 Indicative delivery timeline

Action	2020 Q1	Q2	Q3	Q4	2021 Q1	Q2	Q3	Q4
1. Optimize current								
2. Define new								
3. Bake in new measures								

¹⁴ <https://cas.cgiar.org/publications/quality-research-development-cgiar-context>

¹⁵ E.g. <https://www.globalinnovation.fund/practical-impact-assessment/>

¹⁶ <https://www.scalingreadiness.org/about/>

¹⁷ <https://www.cgiar.org/impact/results-dashboard/> and <https://www.cgiar.org/impact/finance-reports/dashboard/>

Action 1: Optimize performance against current Standards

- Q2 2020:
 - Learning and Looking forward virtual workshop. Objective: Build on identified good practice and increase adoption by CRPs and Platforms.
- Q2 2021:
 - Light-touch check in (TBC).

Action 2: Define new Performance Management measures

- Q1-Q2 2020:
 - Engage and consult key stakeholders on initial direction for proposed new measures.
 - Develop building blocks of proposed new measures (e.g. stage-gates components, gap assessment for global standards such as IATI, GRI)
- Q2 2020:
 - Seek SC endorsement of proposed new Performance Management measures.

Action 3: Bake in new measures

- Q3 2020-Q4 2021
 - Complete the design of new Performance Management measures
 - Integrate into Management Information Systems, build capacity, test, learn, refine.

Response Plan support and TAG2 alignment

The Monitoring, Evaluation and Learning Community of Practice (MELCOP) subgroup on Performance Management comprises members from all CGIAR Centers, CRPs and Platforms and will provide support to the delivery of the Response Plan. Two-way communication with TAG2 Research will ensure coordination and alignment.

Annex A: Inputs to new Performance Management Standards for the period 2022-2024

Current Standards, Pilot Assessment results & Lessons learnt	Existing guidance	One CGIAR needs ¹⁸	MOPAN methodology	GRI/SDGD
<p>Context-relevant to current CGIAR. Uses six standards to address foundational performance management areas.</p> <p>Overarching aims of Standards set future direction of travel.</p> <p>E.g. Standard 2 “CGIAR recognized as global leader for the science of gender in agriculture, integration of high-quality gender research throughout the CGIAR research portfolio” and Standard 6 “CGIAR programs and projects adequately transparent to international standards, such as IATI”.¹⁹</p>	<p>SC7-H proposes the incorporation of the Quality of Research for Development (QoR4D) and linkage to the CGIAR Risk Management Framework into the next set of Performance management measures.²⁰</p> <p>QoR4D covers Relevance, Scientific credibility, Legitimacy, and Effectiveness.</p>	<p>Projects will include key features such as:</p> <ul style="list-style-type: none"> • 3-year measurable objectives • And end-to-end design for delivery from research to impact at scale by working in partnership • Target geographies and farming systems based on regional/country priority-setting • A common Performance and Results Management System that encompasses planning, monitoring, stage-gate decision points and reporting on impacts. • Stop-go decision points (stage-gates) will apply to all CGIAR Projects and be used to manage any project sub-components or grants. 	<p>MOPAN’s methodology manual sets out Key Performance Indicators for Performance Management and Result areas:</p> <ul style="list-style-type: none"> • KPI 7: The focus on results is strong, transparent and explicitly geared towards function • KPI 8: The organisation applies evidence-based planning and programming • KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals • KPI 10: interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate • KPI 11: Results are delivered efficiently • KPI 12: Results are sustainable 	<p>The Sustainable Development Goal Disclosure (SDGD) Recommendations have been developed for all types and sizes of reporting organizations and support:</p> <ul style="list-style-type: none"> • identification of material sustainable development risks and opportunities relevant to long term value creation for organisations and society; • changing what an organisation does and how it does it in order to contribute to the achievement of the SDGs; and, • the communication of implications for and impact on achievement of the SDGs. <p>Disclosures are grouped into four themes (Governance, Strategy, Management Approach, Performance and targets).</p>

¹⁸ SC9-02

¹⁹ SMB12-05

²⁰ SC7-H