![CGIAR logo — Science for a food-secure future]

The 2022-2024 Investment Prospectus - Leveraging advice and learning

Executive Management Team's responses and proposed actions in light of advice received from ISDC and System Council members
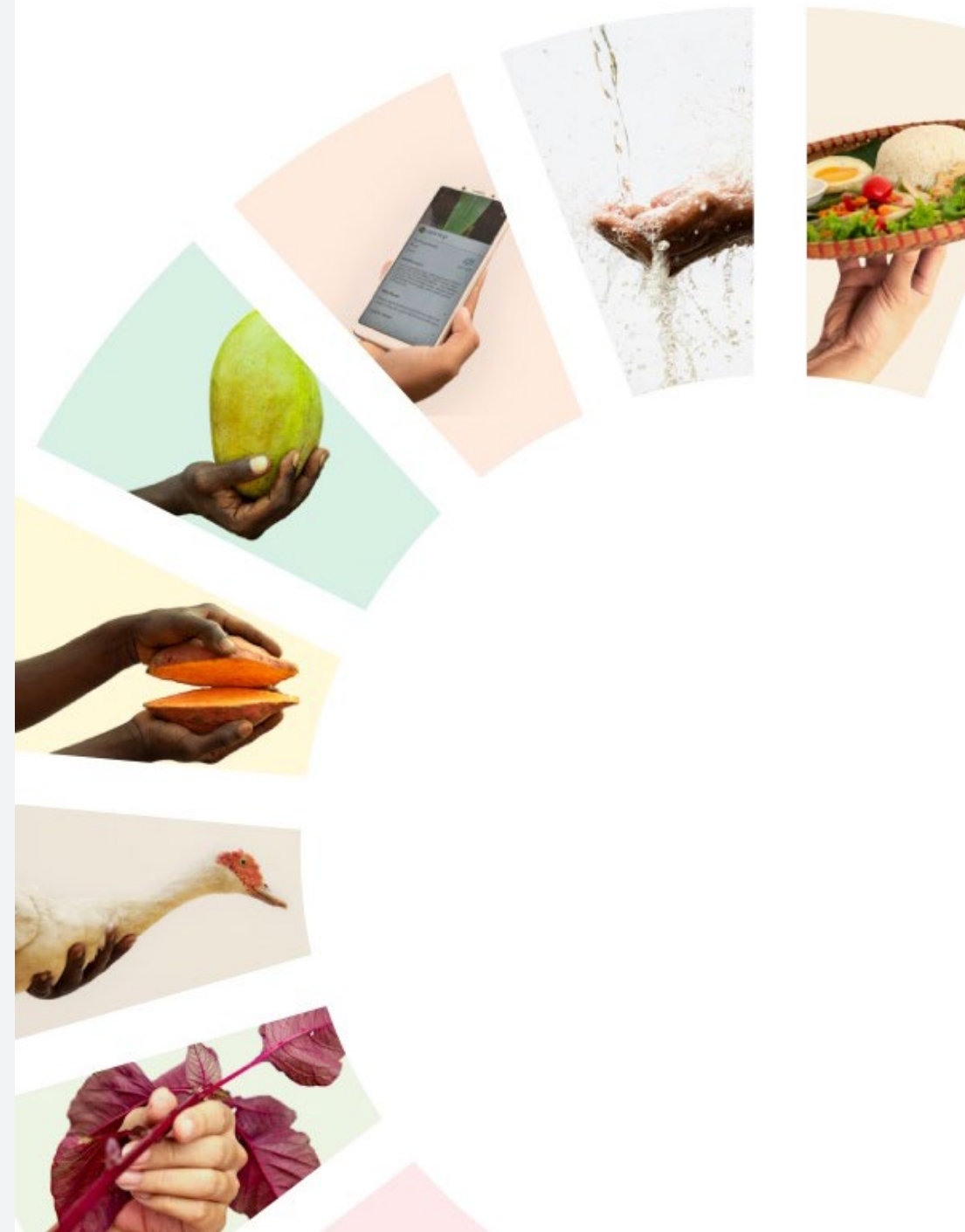
Contents: seven areas of action

1. **Taking up ISDC advice** in Initiative design and launch

2. **Allocation of funding** across Initiatives to reflect prioritization

3. **Arrangements for oversight** of portfolio of research and innovation

4. **Stage-gate processes** for adaptive management of Initiatives during implementation

5. **A single reporting arrangement** responsive to System Council needs

6. **Portfolio analytics** to inform adaptive management and to enhance performance and results of a coherent, cohesive body of research and innovation

7. **A new Results Framework** to complement the 2030 Research and Innovation Strategy, retiring the SRF

1. Taking up ISDC advice in Initiative design and launch

Proposed inception phase for all Initiatives

Description: Initial <u>implementation</u> stage, during which there is wider scope for redesign than later in the 3-year business cycle

Purpose: Create space during Initiative start-up for:
- Thoughtful and thorough implementation of responses to ISDC recommendations
- Partnership-building with external 'delivery, scaling and demand' partners
- Initiative team-building, and relationship-building across CGIAR teams
- Rescaling of intended results, end-of-Initiative outcomes & activities, FINPLAN budgets as needed

Duration: 3-12 months depending on <u>readiness</u>
- ~35% ongoing (breeding & genebanks) or expected to start at full speed as critiques are addressed
- ~40% need more substantial start-up work over the 6-month inception phase
- ~25% likely to need a full year of slower development and consultation

End point: Marked by a <u>revised 'brief' (replacing 'proposal') for every Initiative</u>, including budget

2. Allocation of funding across Initiatives to reflect prioritization

A coherent portfolio with allocation by design

Iterative, consultative **Initiative design process** to develop, refine, inter-relate, and right-size
- Cascaded down from the Research & Innovation Strategy "Action Areas" with nested TOCs
- 'Triangulated' in response to science & impact potential, demand, and funder preferences
- Refined in response to ISDC & others in the Inception Phase, adaptively managed thereafter

Allocations as portfolio design decisions, not *ex post* competition among un-related activities
- By design, the full set of Initiatives is to be funded, with some at 'seed funding' levels
- Funded from a combination of 'portfolio' and 'designated' funding, ensuring that all Initiatives receive equal or more than the funding 'designated' to that Initiative

An **integrated operating structure for Initiative delivery** – stage-gated, adaptive management
- All related Initiatives (and eventually bilateral work) managed in an integrated structure that enables full line of sight and authority for continuous, informed coordination and alignment
- Action Areas can be seen as a coordinated 'Big Lifts' led by a Global Science Director and advised by an Investment Advisory Group

Decision tree and timeline for refining allocation of funds to Initiatives
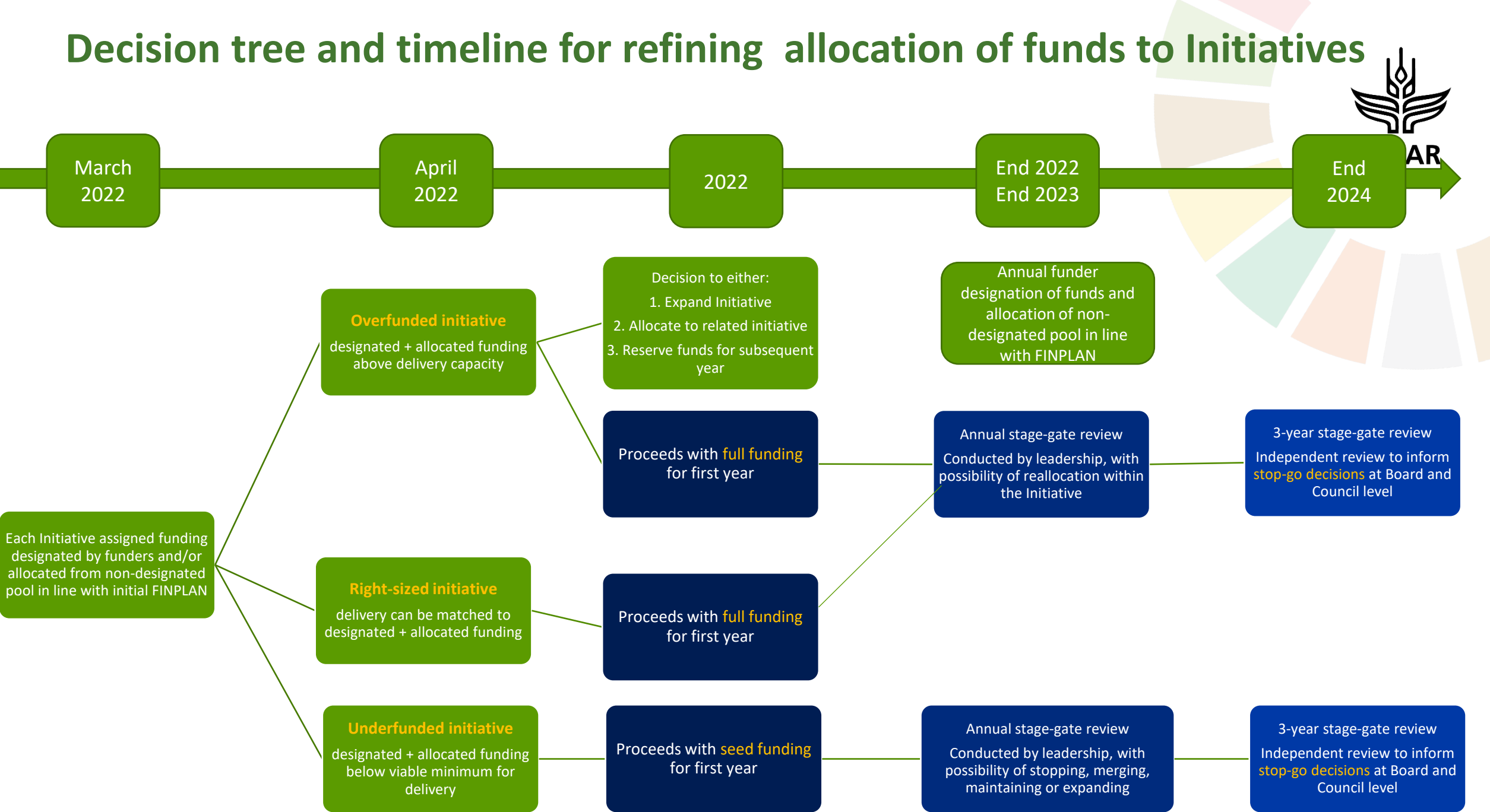
3. Arrangements for oversight of portfolio of research and innovation

Interim and longer-term arrangements for science oversight

Consultancy in motion for delivery in Q3 2022: Design, develop, and steward a revised modality for the periodic provision of oversight and advice for CGIAR research (for approval by Executive Management Team, System Board and System Council pursuant to their respective authorities)

Proposed interim arrangements ahead of new modality – open to all System Council members:
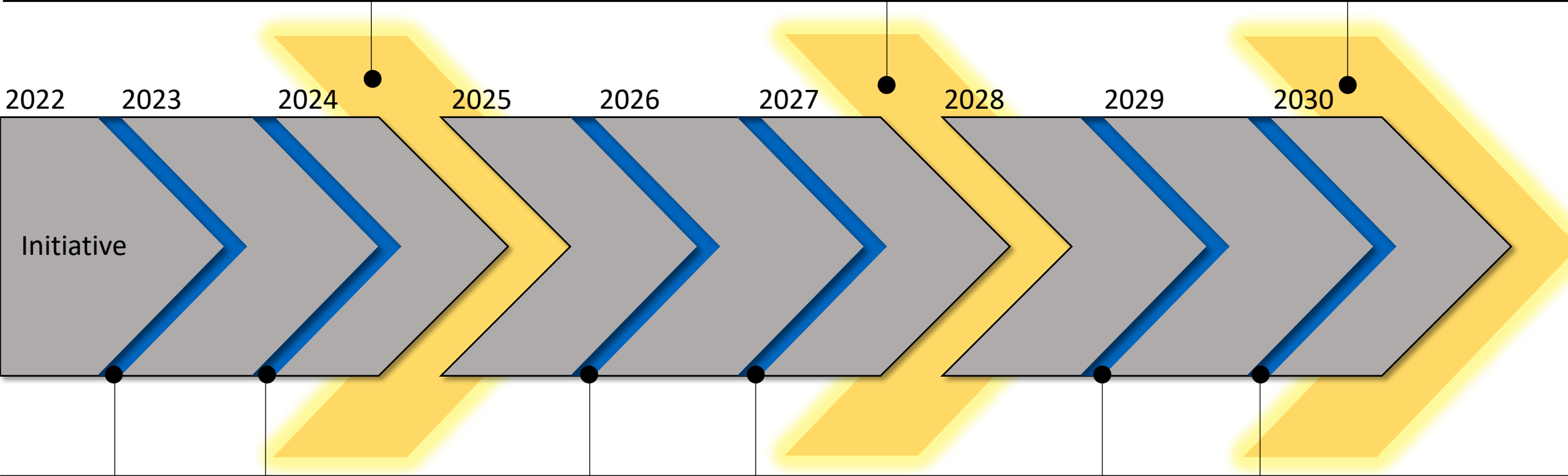
1. At the Science Group / Action Area level, **Investment Advisory Groups**
   - Focus on the strategic level, e.g. portfolio coherence, intended results across multiple impact areas, geographic priorities

2. At the Initiative level, for each Initiative, **a drop-in call early in the inception phase**
   - Focus on the quality of science and design, e.g. research questions, theory of change, partners, deliverables and indicators

4. Stage-gate processes for adaptive management of Initiatives during implementation

5. A single reporting arrangement responsive to System Council needs

Task Team on CGIAR Reporting Arrangement

SIMEC-endorsed Task Team comprised of System Council members (Sweden, Germany, Australia, BMGF) and CGIAR staff

Deliverable is a set of **common reporting parameters (content, timing, format, standards and scope)** that funders can expect annually from pooled-funded programming

Will be proposed to System Council, for your feedback, at **end of March 2022**

Intent is to **keep this year's exercise simple and rapid**; there will be opportunities for further learning, refinements and improvements in subsequent years

Initial scope is the **the arrangement for <u>technical</u> reporting on CGIAR's <u>pooled-funded</u> programming.** The process is designed to allow **gradual incorporation of non-pooled programming over time**, to give an increasingly comprehensive picture of CGIAR's progress towards impact

The goal of the Task Team is to propose the set of common reporting parameters that will **satisfy the essential needs** of all System Council members, and clearly measure **achievement against the Results Framework and planned results of the Initiatives** (delivery of agreed outputs, and progress towards external outcomes and impacts) - but not to cater to a wide range of divergent detailed requests specific to individual funders

Part of **a broader workstream** to integrate CGIAR's internal systems for performance reporting, stage-gating and financial planning, **to deliver a single, lean, annual 'report → reflect → plan' process** for CGIAR Initiatives, reducing the burden on Initiative teams while enriching internal learning and opportunities for adjustment of the portfolio

Proposed annual reporting cycle linked to report→reflect→plan stage-gates
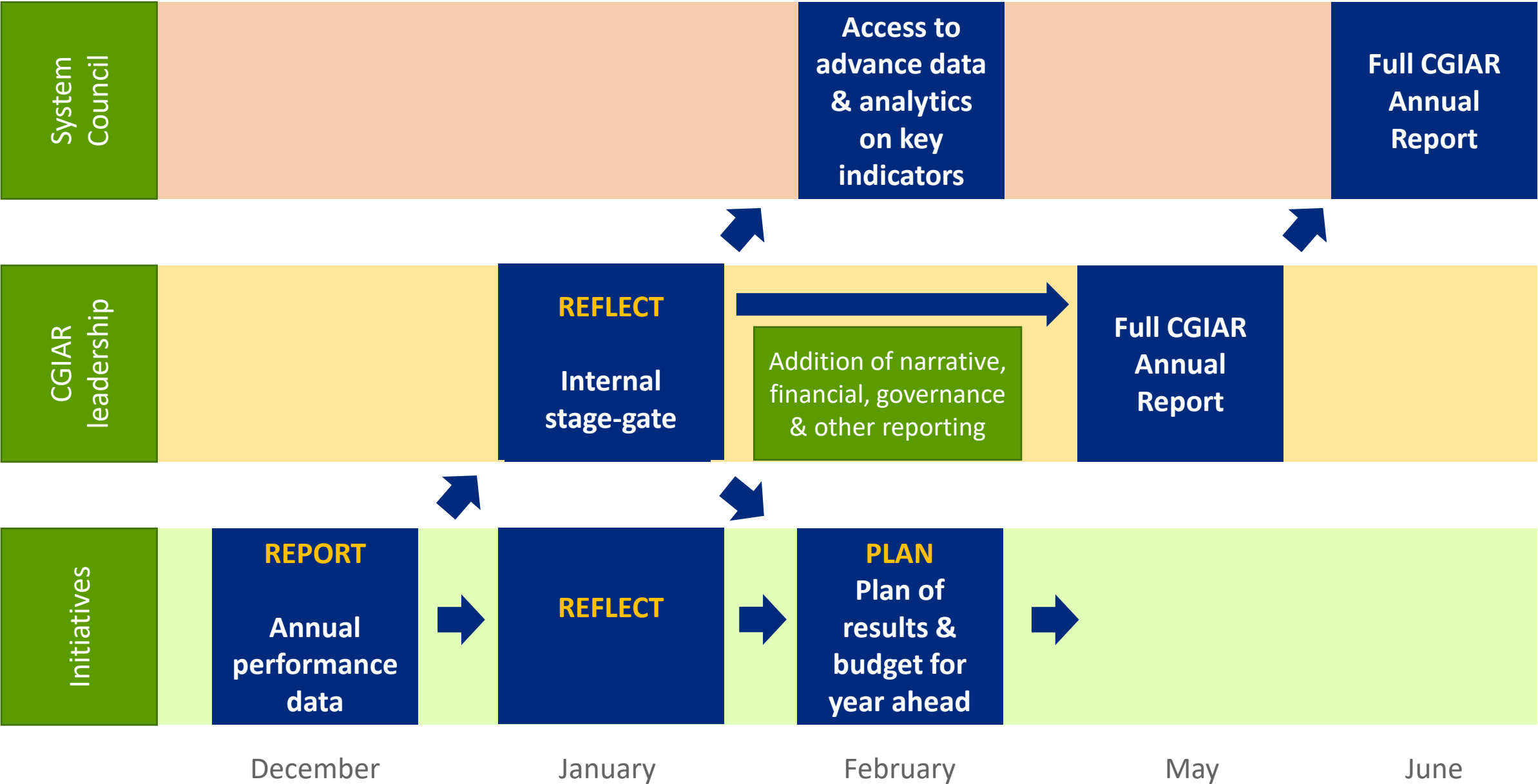
	December	January	February	May	June
System Council			Access to advance data & analytics on key indicators		Full CGIAR Annual Report
CGIAR leadership		REFLECT — Internal stage-gate	Addition of narrative, financial, governance & other reporting	Full CGIAR Annual Report	
Initiatives	REPORT — Annual performance data	REFLECT	PLAN — Plan of results & budget for year ahead		

6. Portfolio analytics to inform adaptive management and to enhance performance and results of a coherent, cohesive body of research and innovation

Multiple analytics now available on the full set of 31* Initiatives

All analytics are available in visual formats on a dashboard at:

https://sites.google.com/cgxchange.org/performance/home
CGIAR P&R KNOWLEDGE HUB Inception Phase

And will be updated as the Initiatives are developed through the inception phase

* Note that the *Accelerating Crop Improvement Through Precision Genetic Technologies (PGT)* Initiative has been postponed as a stage-gate measure.

Example analysis # 1: Geographic location

Initiatives by Country

Initiatives by Region

Initiative Count
1 — 18

Initiative Count
10 — 21

Geographic Scope
Country
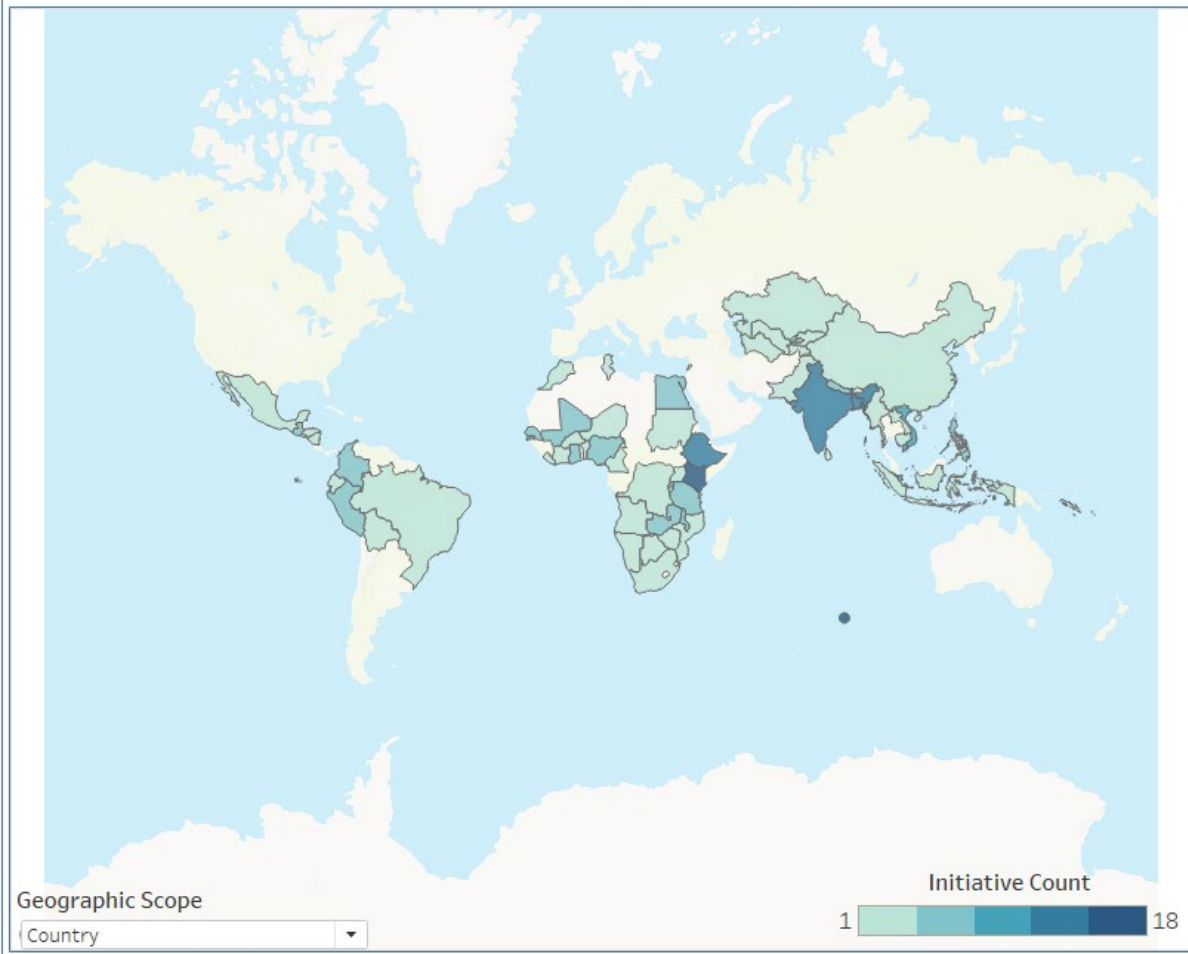
Geographic Scope
Region
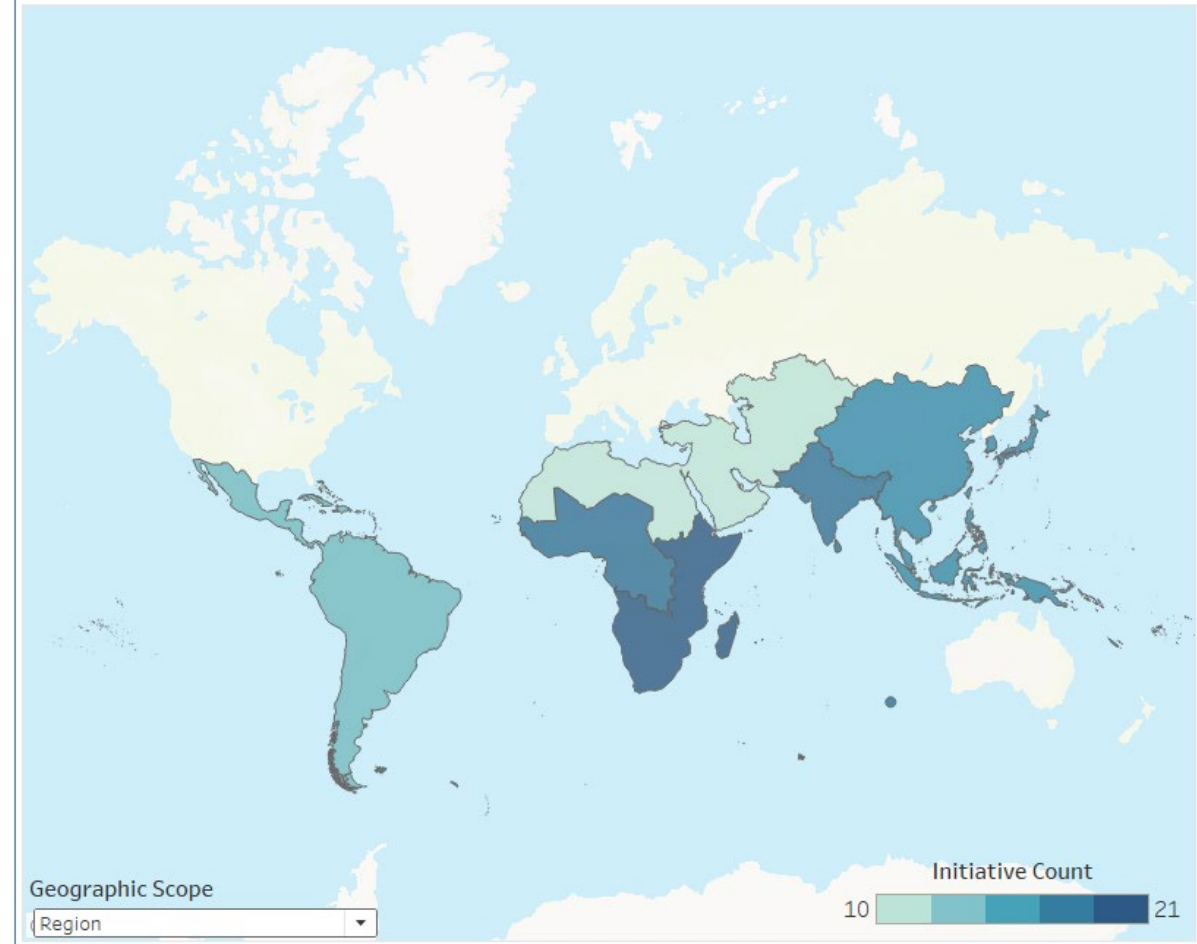
Example analysis #2: Partner network, colored by type & clustered by Initiative

Organization Type Clarisa
- Agricultural advisory and/or extension s...
- Associations (other than regional organi...
- Bilateral development agency/bank
- CGIAR Center
- Farmer level/community level organizatio...
- Foundation
- Government
- International NGO
- International Organization (other than f...
- International/regional financial institu...
- International/regional research institut...
- National NGO
- National/local financial institution
- National/Local NGO
- National/local research Institution
- Not Applicable
- Other
- Private company (other than financial)
- Regional Organization
- SNV
- University
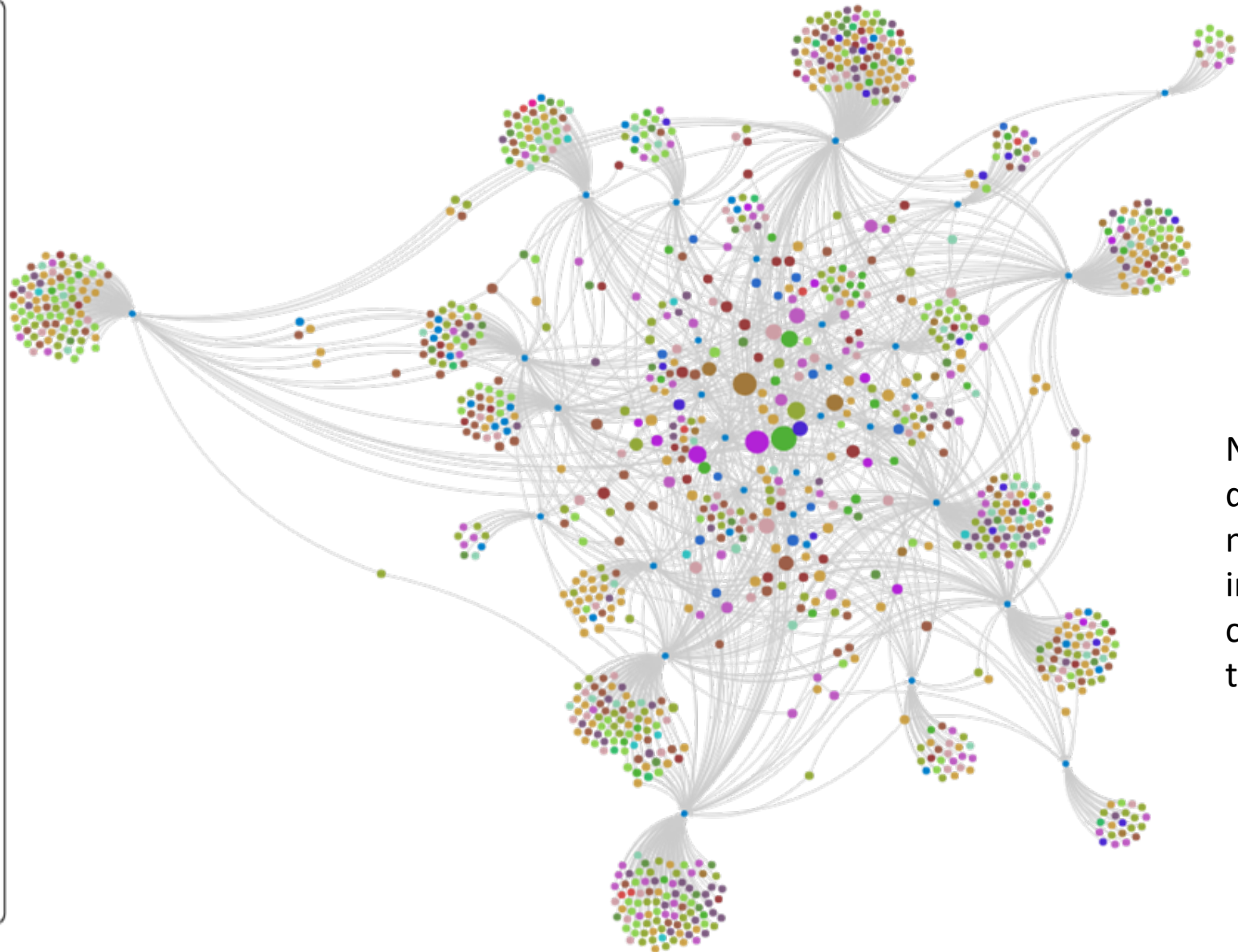
Note: size of dot indicates number of initiatives connected to that partner

Example analysis #3: Results Framework mapped to SDGs

SDGs

Goal	%
Goal 1: No Poverty	89%
Goal 2: Zero Hunger	89%
Goal 3: Good Health and Well-Being for People	17%
Goal 4: Quality Education	7%
Goal 5: Gender Equality	85%
Goal 6: Clean Water and Sanitation	46%
Goal 7: Affordable and Clean Energy	7%
Goal 8: Decent Work and Economic Growth	50%
Goal 9: Industry, Innovation, and Infrastructure	7%
Goal 10: Reducing Inequalities	17%
Goal 11: Sustainable Cities and Communities	7%
Goal 12: Responsible Consumption and Production	42%
Goal 13: Climate Action	78%
Goal 14: Life Below Water	3%
Goal 15: Life on Land	50%
Goal 16: Peace, Justice and Strong Institutions	10%
Goal 17: Partnerships for the Goals	21%

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GRAPHILEON

7. A new Results Framework to complement the 2030 Research and Innovation Strategy, retiring the SRF

New strategy and results framework replace prior SRF

End 2020: **unanimous agreement of CGIAR's:**

2030 Research and Innovation Strategy to frame development of an integrated portfolio of Initiatives around the 5 impact areas, on a rolling 3-year basis starting in 2022

2022-2030 Performance and Results Management Framework to set out CGIAR's strategic approach to a more robust reporting framework on innovations, outcomes and contributions to impact

Simultaneous development of: **CGIAR's new Results Framework**
Earlier iterations shared at SC12 (Dec 2020) and SC14 (Dec 2021)
Next iteration will be shared alongside the Reporting Arrangement end of March 2022

Proposed decision

It is recommended that the System Council consider the following clarifying decision:

The System Council:

1. Confirms that the CGIAR 2030 Research and Innovation Strategy, together with its companion document the CGIAR Results Framework, is the successor to the CGIAR Strategy and Results Framework, with the latter being retired with retroactive effect from 31 December 2021, the end date of the former CGIAR Research Programs.

2. Requests that, as a transitionary measure to future reporting on CGIAR's contribution to the Collective Global 2030 Targets, the Executive Management Team present by mid-2023 aggregated data on the aspirational intermediate 2022 targets included in that earlier Strategy and Results Framework.

Annexes with additional detail

Annex 1.
Tracking progress against EMT-led actions to address ISDC's four recommendations in light of the Companion Document to the Investment Prospectus

CGIAR

ISDC recommendation

1. **Map CGIAR's comparative advantage with country, regional, and global players** that may be partners or competitors. Elaborate on how:
(1) Initiatives will seek complementarity with other research institutions;
(2) CGIAR seeks to harmonize efforts among global players.

Management actions

1. At the whole CGIAR level, EMT appreciates the offer of an **ISDC-led enquiry into CGIAR comparative advantage** during 2022.
By Q2 2022, the **Engagement Framework** will establish the systems and assets required to steward partnerships at all scales, and individual initiatives will elaborate on complementarity with peer research institutions.

Update March 2022 (Action on track): An advanced draft of the Engagement Framework is currently out for review, and it will be completed and presented to the System Council in the agreed timeframe.

ISDC recommendation

2. **Show how leadership and teams** among the Science Groups, Regional Directors, and Impact Areas **will work together and where the authority lies**.

Management actions

2. The intended management modality is presented in this deck. The **Initiatives will report to the Science Group Directors** ('SGDs').

Update March 2022 (Action completed): The management modality was presented by EMT at the last System Council meeting (SC14). There is now continuous coordination between Science Group Directors and Regional Directors.

ISDC recommendation

3. **Carefully review** the six Regional Integrating Initiative ('RII') proposals and the companion document **to ensure no duplication exists with the global thematic Initiatives**. Include a strategy on how country offices will work with RIIs.

Management actions

3. The Resilient Agrifoods Science Group Director will lead a process with all three Science Groups **to identify and deal with any RII duplications,** sharing the findings in Q1 2022, and the **Regional Directors will coordinate country engagement strategies** between the RII leads and the Country Convenors.

Update March 2022 (Action on track): The Resilient Agrifoods Science Group Director held two ad hoc calls with the System Council last week to discuss the RIIs, including coordination and coherence mechanisms. The approach will be captured in a short strategy paper for distribution.

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ISDC recommendation

4. **Map CGIAR's substantive priorities** for short- and long-term research, with a **clear process for priority-setting** and **review** that is evidence based.

Management actions

4. Elaborating on the priority-setting that has already been done in the development of the 2030 Research & Innovation Strategy and the Initiatives, **the three Science Groups will present the set of near-term and long-term portfolio priorities and the evidence base for these** by Q2 2022.

Update March 2022 (Action partially extended): The priorities among the initiatives have been indicated by the initial FINPLAN, reflecting stakeholder, scientific and indicative funder perspectives, and will be updated in the final FINPLAN (April) to reflect funder designations. EMT also proposes a process over the full period of 2022 to bring together the Science Groups, Impact Platforms and Regions to co-generate a longer-term identification of priorities.

Annex 2.
Update on developing CGIAR's single reporting arrangement for the 2022-2024 Prospectus

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Task Team on CGIAR Reporting Arrangement

Origin: Endorsed by SIMEC at February 2022 meeting

Goal: By end March 2022, propose to System Council (SIMEC) and EMT <u>an arrangement for annual technical reporting on CGIAR's pooled-funded programming</u> (Initiatives and Platforms) for the 2022 cycle, leaving the option for future learning, refinement and adaptation in future years

Task Team members

SIMEC Members/Nominees:

Bethany Davies

Ruben Echeverria

Raphael Nawrotzki

AnnaKarin Norling

Michelle Quibell

From CGIAR:

David Abreu

Julien Colomer

Iddo Dror

Alessandra Furtado

Donald Menzies

Frank Place

Sonja Vermeulen (Chair)

Clarity on scope of the task up to end of March

In scope	Out of scope
Technical reporting from the Initiatives and Platforms	The bigger picture of a 'CGIAR Annual Report' e.g. financial reporting, governance reporting etc – the future Annual Report will be led by Communications (GE&I)
The content and format of technical reporting	The system for technical reporting – this is being considered in a sister process led by Digital Services (IS&S)
Reporting Arrangement (RA)	The Results Framework (RF) that CGIAR will report against – we have other processes to interact with the System Council on this important aspect
Pooled funding	Non-pooled funding – we intend to start including the bigger bilaterals into our technical reporting system during 2022, but will not consider under the Task Team

Goalposts and milestones for the initial set of parameters

By end Q1 2022 (Task Team delivery date)
- In the context of developing a fit for purpose technical reporting + stage-gating + planning solution for CGIAR's portfolio
- Define the Reporting Arrangement for 2022 to a sufficient level of detail that:
  - Funders have assurance about key Reporting Arrangement parameters
  - Initiative teams understand and can plan to meet key Reporting requirements (no surprises)
  - CGIAR Digital colleagues have clarity required to initiate PRMS design and delivery
  - Post-March, we are able to continue refining details within SC-considered approach

By end Q2 2022
- Details refined
- Awareness built, capacity needs identified, support structure operational
- Systems take shape

Q4 2022
- 2022 Technical reporting process begins

Q1 2023
- Report, stage-gate, Plan of Results and Budget (PORB) actioned/delivered

2023 and beyond
- Further learning and iterations of the reporting arrangement to improve and adapt to Funders' needs

Process for the Task Team Feb-March 2022

We are co-developing the reporting arrangement parameters

We have been asked to give a light progress update to System Council at the early March meeting

We aim to propose a reporting arrangement to System Council by the end of March

Proposed process:

- *17 February: 1st Working Group meeting*
- *24 February: 2nd Working Group meeting – share progress and outline of SC light update*
- **Week of 7 March**: SC update
- **Week of 14 March**: 3rd Working Group meeting – first full iteration of proposed report parameters for feedback
- **Week of 28 March**: presentation of proposal to System Council, via SIMEC or via deep dive with the full Council
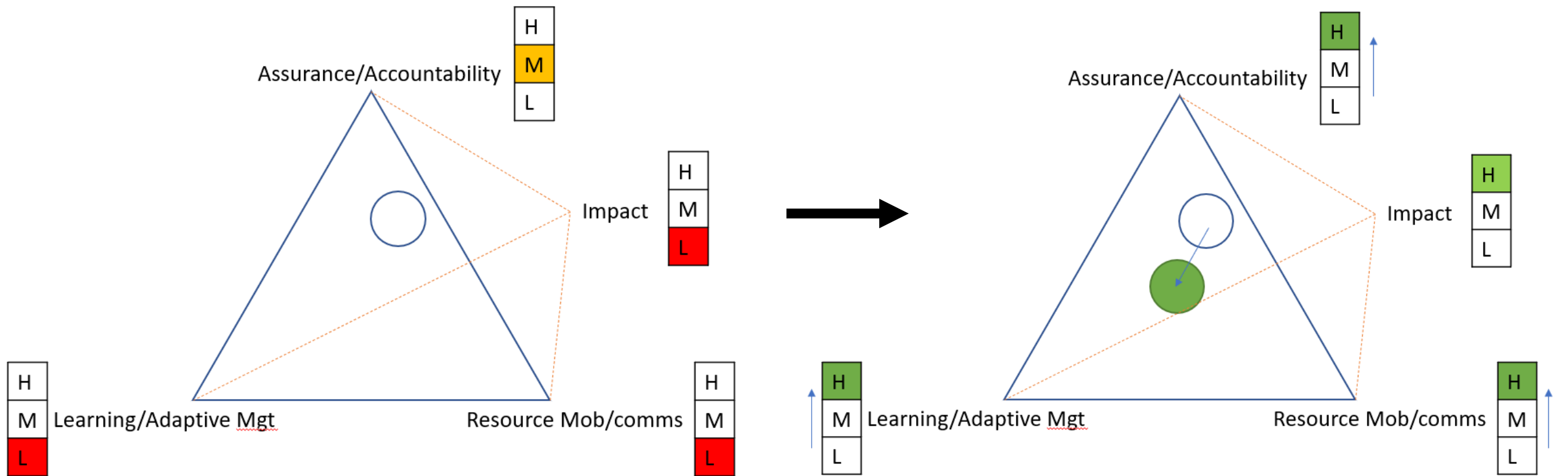
Framing: Report, Reflect, Plan
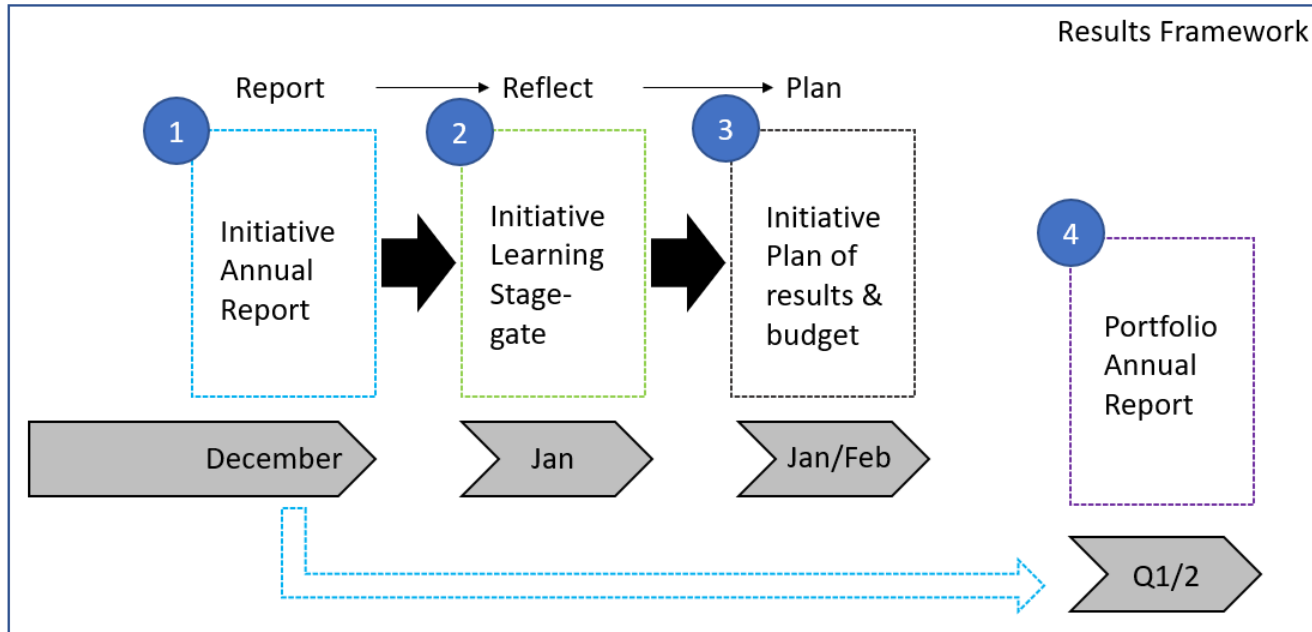
Provide:
- A clear line of sight for all Funders' investments
- Provide strong assurance in linking investments to results for those that fund at the most aggregate levels.
- Systematic and transparent tracking of impact, performance and expenditure.
- Deliver a Performance and Results Management System that encompasses planning, monitoring, stage-gate decision points and reporting.

- Help CGIAR better tell a portfolio-level progress-towards-impact story each year
- Nudge delivery teams to adopt routine impact management practices
- Reduce the overall administrative burden on Initiative delivery teams

Reporting Arrangement

Strategic Management (EMT) & Oversight (SB/SC)

Relationship Management (GE&I)

Results

X-Division integration contributes to CGIAR results

Operational Management (IS&S)
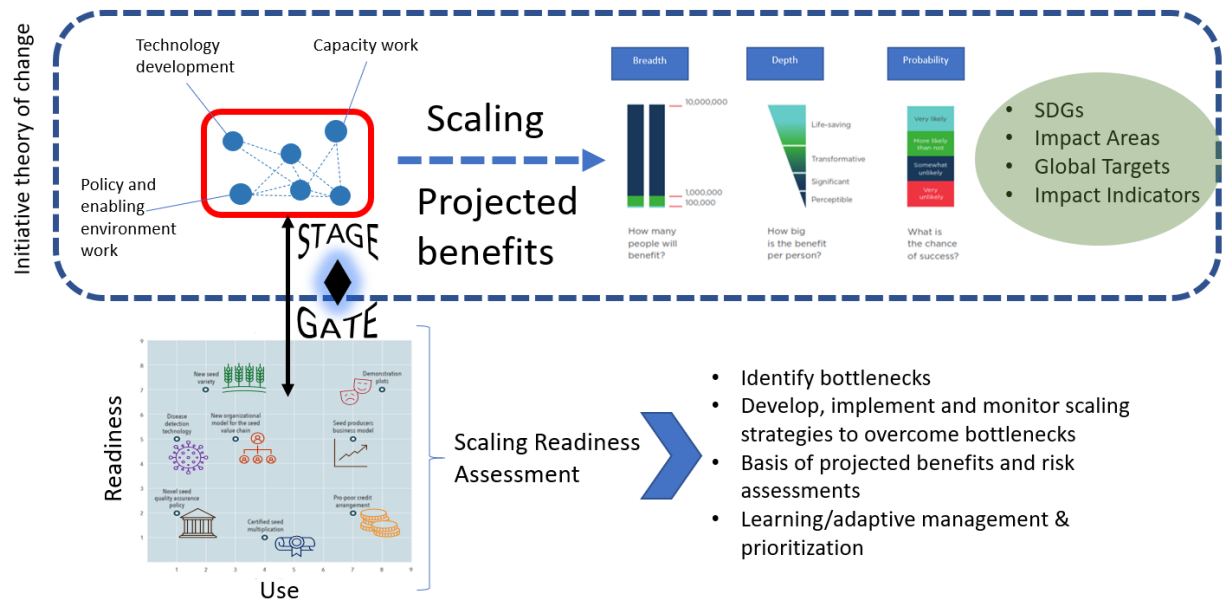
Performance Management (RD&I)

End to end system

Initiative theory of change

Technology development

Capacity work

Policy and enabling environment work

Scaling

Projected benefits

Breadth
How many people will benefit?

Depth
How big is the benefit per person?
Life-saving
Transformative
Significant
Perceptible

Probability
What is the chance of success?
Very likely
More likely than not
Somewhat unlikely
Very unlikely

- SDGs
- Impact Areas
- Global Targets
- Impact Indicators

STAGE GATE

Readiness

Use

Scaling Readiness Assessment

- Identify bottlenecks
- Develop, implement and monitor scaling strategies to overcome bottlenecks
- Basis of projected benefits and risk assessments
- Learning/adaptive management & prioritization

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CGIAR Performance and Results Management Framework 2022-2030

Companion document to the CGIAR 2030 Research & Innovation Strategy

Approved by the System Council at its 11th meeting on 17 December 2020, SC/M11/DP2

https://storage.googleapis.com/cgiarorg/2021/07/SC11-03b_CGIAR-Performance-and-Results-Management-Framework-2022-30_postmeeting8July2021.pdf

Report

➢Short

➢Seamless: Dashboard-driven & deliberate use of narrative content

➢Sharp: Tell two portfolio-level stories:

1. **Progress towards End of Initiative Outcomes & future impact**

   - Upstream: Gestation of new innovations

   - Midstream:
     - Progress moving innovations through innovation systems and towards impact at scale, through changes to the 'readiness' and 'use' of pre-existing innovations.
     - Describe how many innovations were deliberately stopped or paused by Initiatives during the year – a powerful way to provide evidence of ongoing prioritization by Initiatives.

   - Downstream: High level/light touch update on the portfolio's impact potential, based on upstream and midstream progress over the past year, and any major changes to the macro-operating environment.

2. **New evidence of past impact**

   - Showcase the findings of impact assessments completed during the course of the year.

Key parameters – Portfolio technical report

Reporting parameter	Starting point for discussion
Key audience(s)	Funders
Content	Type 1 Progress towards End of Initiative outcomes Type 2 Contribution to AA outcomes and Impact Areas Type 3 Performance Management progress
Timing	Annual Q1 data/dashboard – technical reporting from Initiatives Q2 narrative/compiled Annual Report – including full finance, governance, audit reporting (etc)
Format	Advance technical reporting in Q1 Full Annual Report in Q2 in downloadable pdf format
Standards e.g. IATI	Funding/Indicators/Results: Progressive alignment
Scope	Pooled + Non-pooled (progressive)

Type 1: Progress towards End of Initiative outcomes

Progress towards End of Initiative outcomes (against Plan of Results)
- # of people reached/using innovation (m/f)
- Other quantitative measures of innovation use (e.g. ha)
- # innovations increasing in readiness/use
- # Innovation packages increasing in readiness/use
- # policies informed
- Significant changes in partner engagement
- # germplasm accessions
- # people trained
- # peer-review publications (and other information products)

Type 2: Contribution to AA outcomes and Impact Areas

Contribution to AA outcomes
- Using AA outcome indicators
- Multi-Initiative
- Pooled + non-pooled
- Multi-investment cycle
- CGIAR +

Contribution to 5x Impact Areas, collective global 2030 targets
- Using impact indicators
- Multi-Initiative
- Pooled + non-pooled
- Multi-investment cycle
- CGIAR +++

Type 3: Portfolio Performance & Project Management

Portfolio Performance Management
- Progress on activating key PRMF features
    - CGIAR Results Framework
    - Online, standard TOC, linked to RF
    - Innovation Packages & Scaling Readiness assessments
    - Projected benefits & risk/reward assessments
    - Stage-gates
    - Interlinked, cohesive MELIA
    - Performance and Results Management System

- Progress on standardizing Initiative/Project management practices, including project-level MELIA
    - Meet CGIAR Project Management minimum standards (TBD) based on the size of Initiative/Project

End-game: Innovation Portfolio Management
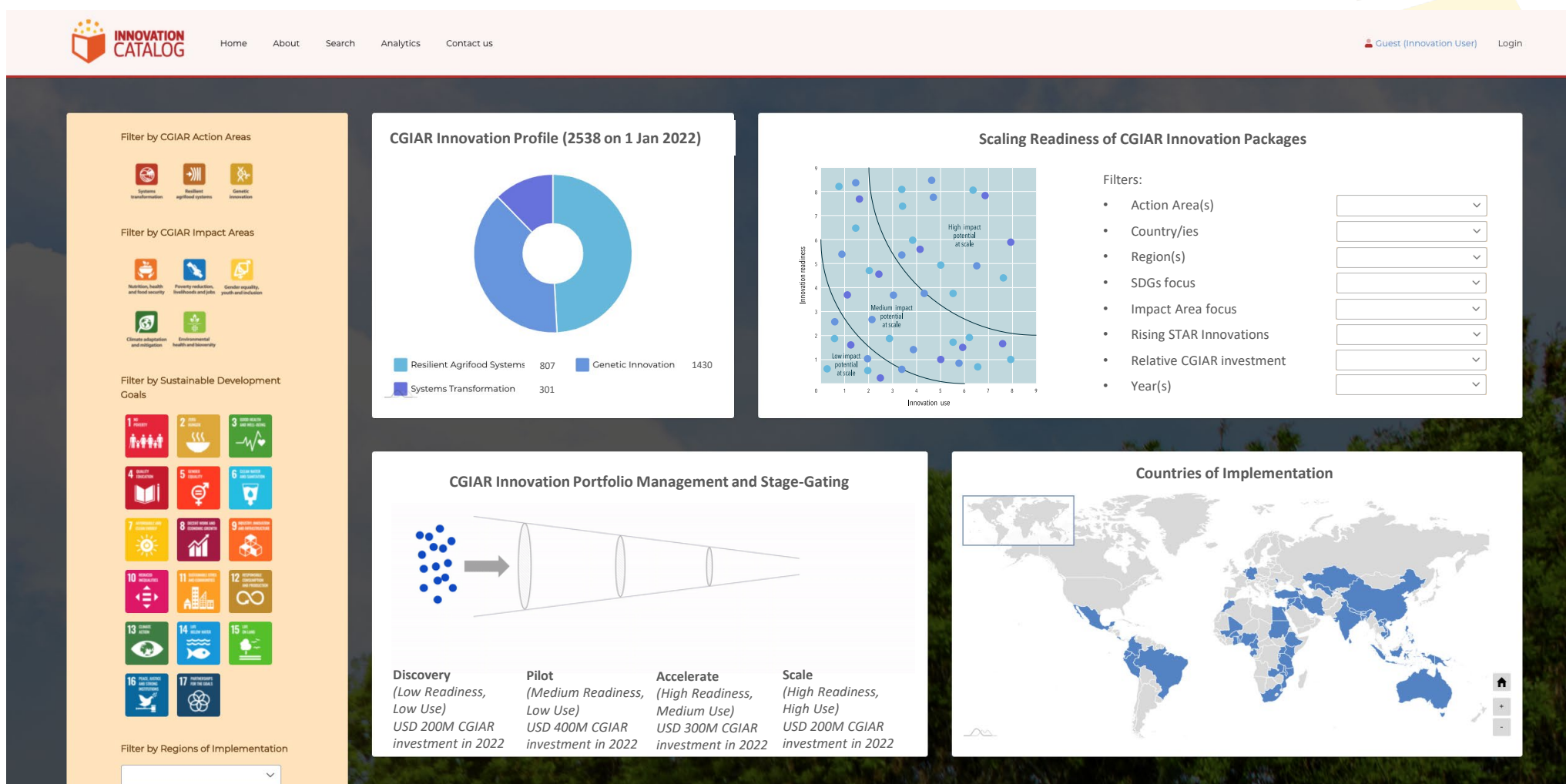
Disclaimer: RTB Innovation Catalog does currently not provide all these functionalities; Figures are illustrative