



CGIAR Technical Reporting Arrangement

Purpose

This document describes the Technical Reporting Arrangement (content, timing, format, standards and scope) applicable to all CGIAR Initiatives. It was endorsed by the System Council's Strategic Impact, Monitoring and Evaluation Committee ('SIMEC') during its 25th meeting on 10 June 2022.

Prepared by: Content co-developed by a SIMEC-endorsed Task Team comprised of System Council members (Sweden, Germany, Australia, Bill & Melinda Gates Foundation) and CGIAR staff.

The CGIAR Technical Reporting Arrangement fulfills the System-level programmatic reporting requirements set out in the Standard Provisions annexed to the Funding Agreement or Arrangement signed between each Funder and the System Organization

Contents

Background	2
Technical Reporting Parameters.....	3
Technical Reporting Types & Sequencing.....	6
Type 1 Reporting - Progress towards End of Initiative outcomes	8
Proposed Type 1 Report template.....	10
Type 2 Reporting - Contribution to Action Area outcomes & Impact Areas/Collective Global 2030 Targets/SDGs.....	12
Type 3 Reporting - Portfolio Performance and Project Coordination progress	12
CGIAR Results Framework	13
Report – Reflect – Plan.....	15
Annex 1 – Supporting materials.....	18
Annex 2 – CGIAR Results Framework.....	19
Annex 3 Initiative-level results framework (Building Systemic Resilience Against Climate Variability and Extremes - ClimBeR – used as illustrative example)	24

Background

1. This document describes the Technical Reporting Arrangement (content, timing, format, standards and scope) applicable to all CGIAR Initiatives. The document has been co-developed by a SIMEC-endorsed Task Team comprised of System Council members (Australia, BMGF Germany, Sweden) and CGIAR staff. Feedback has been received and incorporated from CGIAR System Council, Senior Leadership, CAS SPIA and Evaluation, Initiative Teams and Monitoring, Evaluation, Learning and Impact Assessment staff.
2. The goal of the Task Team was 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 CGIAR Results Framework and planned results of the Initiatives.
3. The Technical Reporting Arrangement is part of a broader workstream to integrate CGIAR's internal systems for performance reporting, stage-gating and financial planning, to deliver a logical, 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. The Technical Reporting Arrangement feeds into CGIAR's overall Annual Report.
4. This document aims to provide a sufficient level of detail on the proposed Technical Reporting Arrangement such that:
 - Funders have assurance about key Technical Reporting parameters, and can provide feedback on these,

- Initiative teams understand and can plan to meet key reporting requirements (no surprises),
 - CGIAR Digital colleagues have clarity required to progress Performance and Results Management System (PRMS) design and delivery, and
 - Following agreement around this document, CGIAR can continue refining Technical Reporting Arrangement with SIMEC & SC advice.
5. The concepts and framing for this document are provided by the SC-approved *CGIAR Performance and Results Management Framework 2022-2030*, the ISDC-reviewed *Companion Document to the 2022-2024 CGIAR Investment Prospectus*, and the *CGIAR Evaluation Framework* and *CGIAR Evaluation Policy*.
6. Background materials relevant to this document are included in Annex 1.

Technical Reporting Parameters

7. This document describes the proposed key parameters of CGIAR's Technical Reporting. It is necessary to distinguish the Technical Reporting content from the broader, overall CGIAR Annual Report. The overall CGIAR Annual Report will integrate the Technical Reporting content with other content, for example the Executive Management Team message, Governance, Global Engagement, and Finance content (Figure 1).

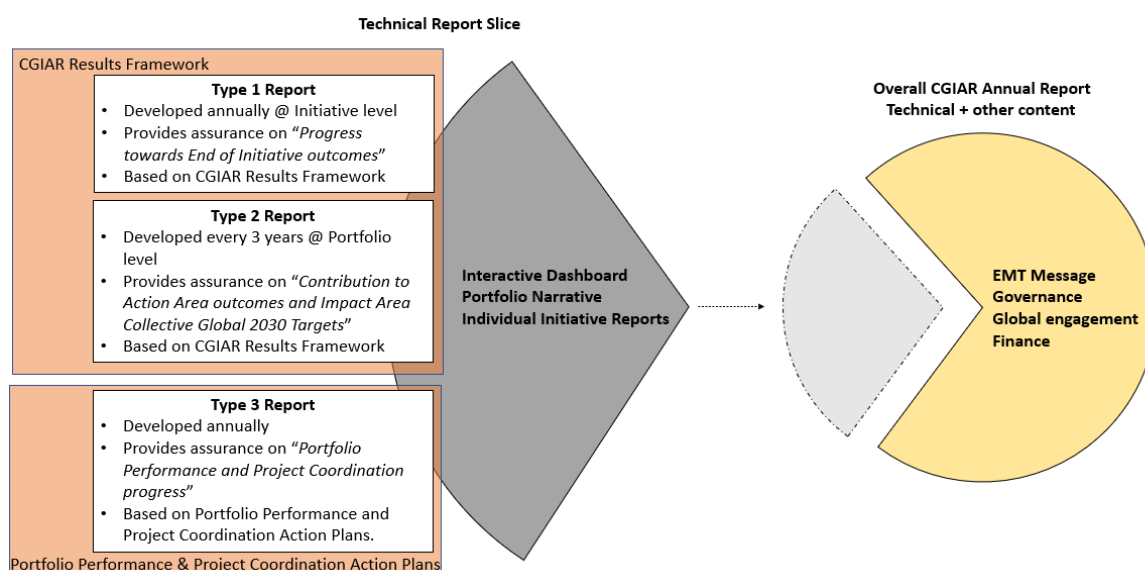


Figure 1 This document describes the Technical Report slice of CGIAR's overall Annual Report.

8. The parameters identified in Table 1 provide the basis to define the content, timing, format, standards and scope of CGIAR Technical Reporting.

Table 1 Technical Reporting parameters and detail

Reporting parameter	Type 1 Progress towards End of Initiative outcomes	Type 2 Contribution to Action Area outcomes and Impact Areas	Type 3 Portfolio Performance and Project Coordination progress
Key audience	System Council members and those they represent		
Report scope	Pooled ¹		
Report Level	Initiative level	Portfolio level	
Report Timeline	Annually	every 3-year Business Cycle	Annually
Technical Report Timing for initiatives & portfolio	Q1 Initiative data & dashboard	TBC	TBC
	Q2 Initiative narrative	TBC	Q2
	Throughout the year: Planned/on-demand updates		
Report format	Online: Dashboard + narrative + PDF summary Composite: Aggregate picture of progress + select deep dives		
Alignment with International Aid Transparency Initiative (IATI) standard	Progressive integration of indicators and results to complement existing CGIAR portfolio IATI report structure and content, available here .	n/a	

9. System Council members and those they represent are the primary target audience for the Technical Report content. We define three types of Technical Report, detailed in the following section. These three types of Technical Report provide Initiative- and Portfolio-level coverage of science progress and results delivery towards CGIAR Results Framework targets.
10. Each Initiative has defined its own detailed and specific set of within-Initiative results and indicators. The detailed and specific within-Initiatives results and indicators align to a small number of standard result and indicator types in the CGIAR Results Framework (see Annex 2). This means Initiatives will provide reports against their own detailed and specific results and indicators, while also providing the basis for CGIAR to develop a higher level, aggregate Portfolio report using the small number of standard result and indicator types in the CGIAR Results Framework as the basis for aggregating detailed and specific Initiative-level results and indicators.

¹ CGIAR will progressively integrate non-pooled indicators and results into a common reporting framework that allows line of sight between investment and contribution to impact.

11. The focus of this document is Type 1 Reporting, which covers “Progress towards End of Initiative outcomes”. Type 1 Reporting will contain quality assessed results data² accompanied by narrative. We anticipate reported content being made available in two tranches – one early tranche broadly comprising quality assessed results data, and one subsequent tranche broadly comprising narrative content. These two tranches will be packaged and integrated into a single Initiative Type 1 Report, made available online and composed of results data and narrative text. A PDF version of each Type 1 Report will be made available for download, printing, and distribution in hardcopy to Funders who require it.
12. As well as being made available individually, annual Initiative Type 1 Reporting will be incorporated into an annual Portfolio narrative, which will provide a broader view on portfolio coherence, including results, partnerships, country and regional engagement, and synergies among the portfolio’s constituent parts. Type 3 report content (Portfolio Performance and Project Coordination progress) will be incorporated into the annual Portfolio narrative (Figure 2).

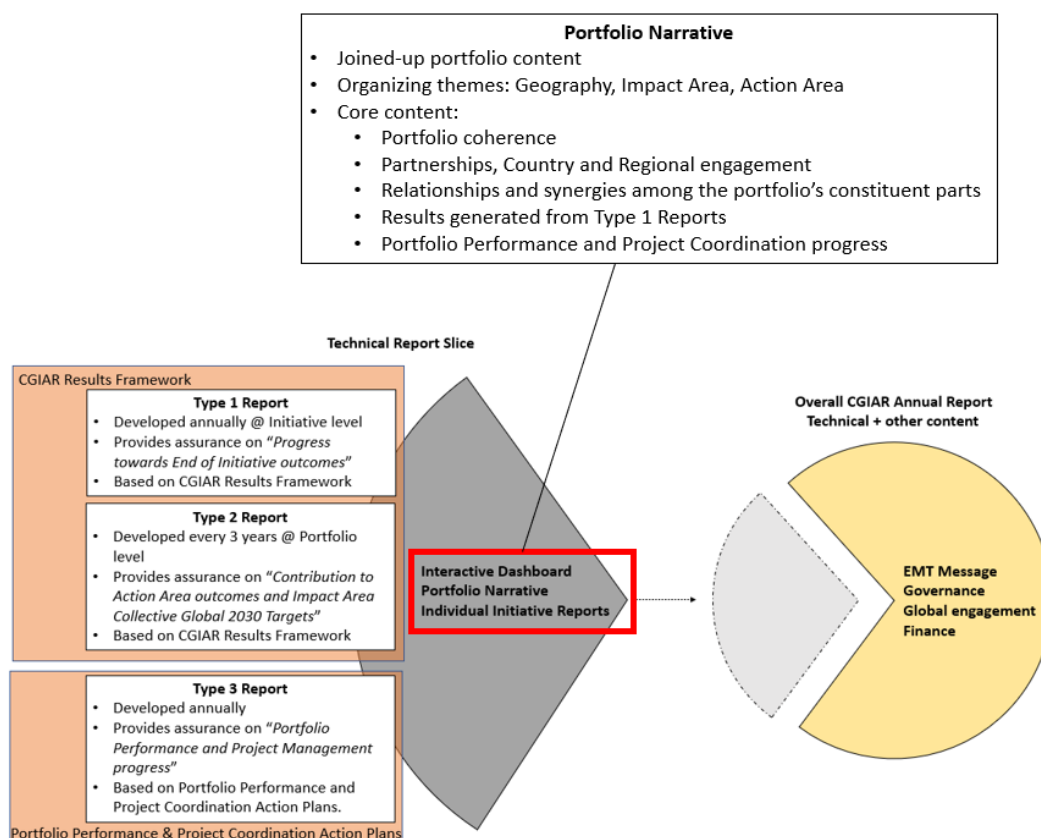


Figure 2 The Portfolio Narrative will provide evidence of overall portfolio coherence on results, partnerships, country and regional engagement, relationships and synergies among the portfolio’s constituent parts, and Portfolio Performance and Project Coordination progress.

² CGIAR will quality assess results data included in the Technical Report. Reported data points will be cross-checked by assessors against specific criteria.

Technical Reporting Types & Sequencing

13. Three types of Technical Reporting content have been defined (Figure 3).

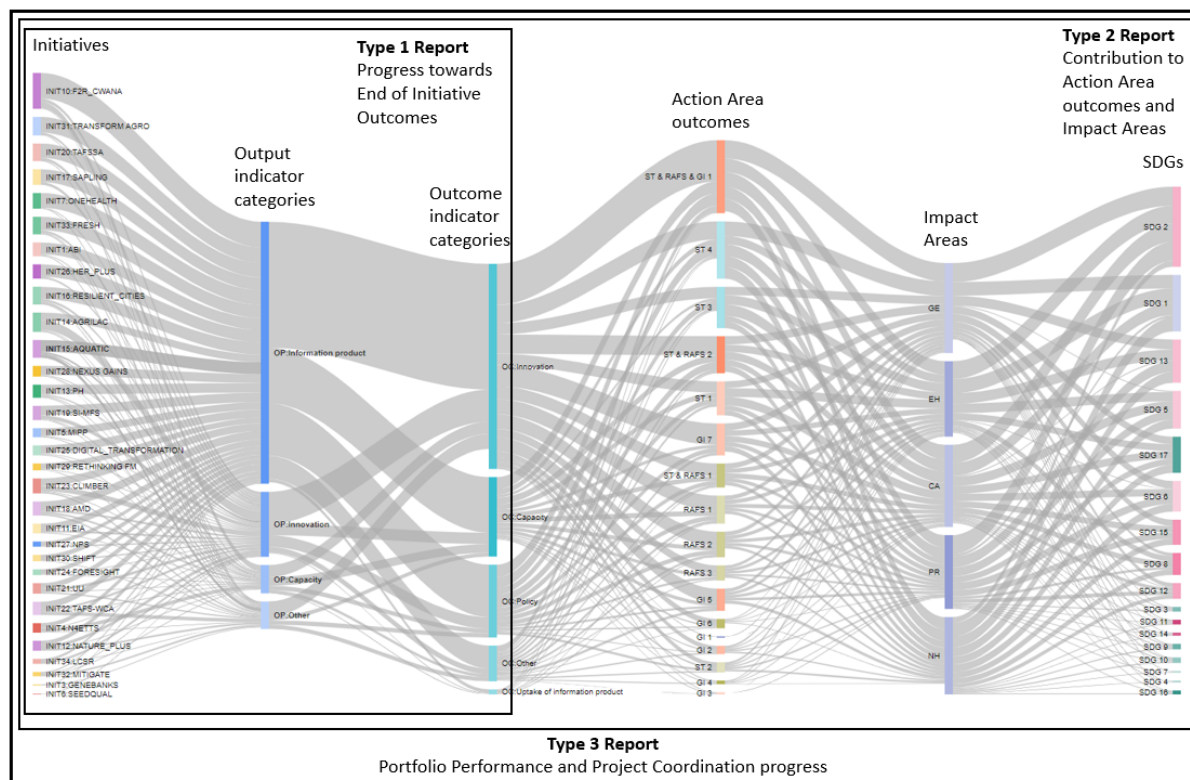


Figure 3 Three types of Technical Report have been defined and are represented here against the Initiatives' aggregate use of the CGIAR Result Framework. Type 1 is the focus of this document.

14. The three types of Technical Reporting are:

1. Type 1, covering **'Progress towards End of Initiative outcomes'** – the focus of this document.
 - Each Initiative will complete a Type 1 report annually.
 - Type 1 reporting content is aligned to the CGIAR Results Framework and each Initiative's Theory of Change (TOC).
 - It provides an annual, Initiative-level progress report towards end of Initiative outcomes using a standard template.
 - Indicative tagging of Initiative-level results to higher Action Area outcomes and Impact Area Collective Global 2030 Targets will be incorporated.
 - Type 1 reporting feeds into annual adaptive management.
 - A summative three-year Type 1 report will be generated by each Initiative to feed into Business Cycle assurance stage-gates.
2. Type 2, covering **'Contribution to Action Area outcomes & Impact Areas/Collective Global 2030 Targets/SDGs'**
 - Every three-year Business Cycle, CGIAR will develop a Type 2 report.

- Type 2 reporting content will align to the CGIAR Results Framework and the CGIAR/Action Area TOCs.
- It will provide an aggregate portfolio contribution report to Action Area outcomes and overall Impact Area/Collective Global 2030 Targets/SDGs.
- Type 2 reporting feeds into Business Cycle assurance stage-gates.
- Impact Areas provide a possible organizing principle for Type 2 reporting.

3. Type 3, covering '**Portfolio Performance and Project Coordination progress**'

- CGIAR will provide annual Type 3 reports.
- Type 3 report content will align to Portfolio Performance and Project Coordination Action Plans (both under development).
- It will provide an 'under the hood' report of CGIAR's portfolio performance and project coordination practice change against a set of defined targets.

15. Each Technical Report type has been allocated a level (Initiative or Portfolio), and a sequence (annual, 3-year Business Cycle, and 9-year 2022-30 Cycle) – see Figure 4 **Error! Reference source not found..**

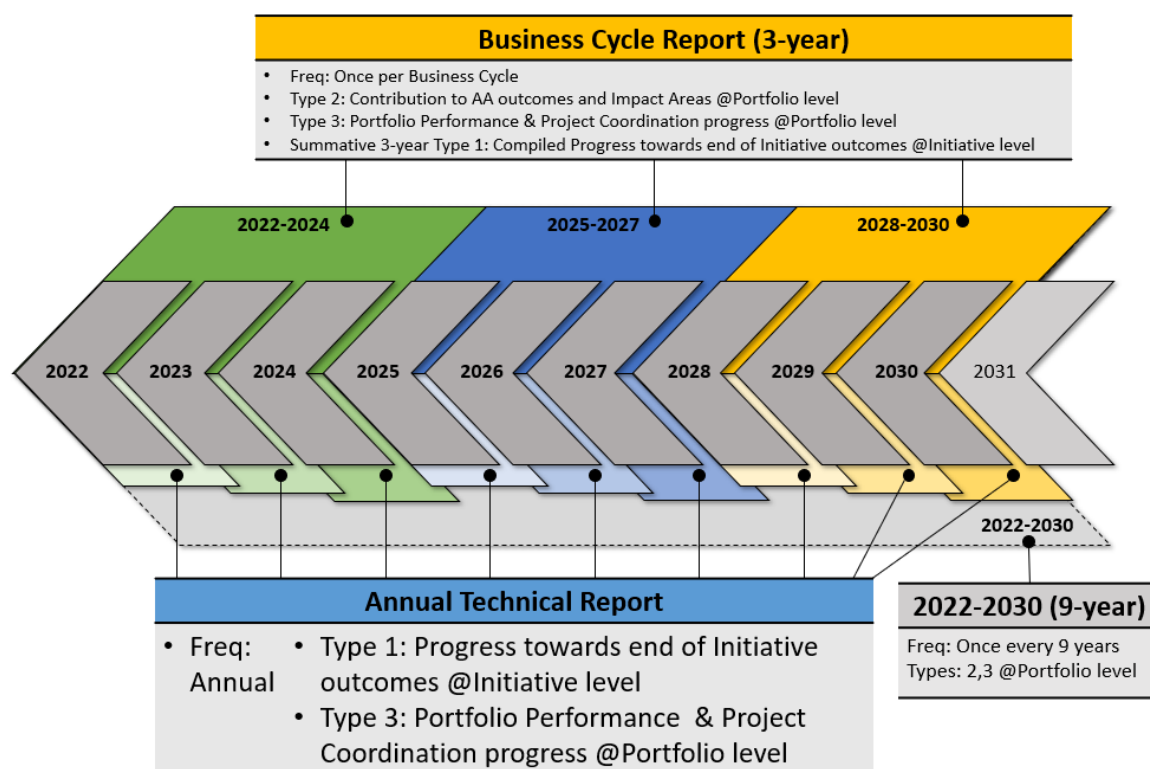


Figure 4 The three types of technical reporting are mapped to annual, 3-year Business Cycle, and 2022-30 reporting

Type 1 Reporting - Progress towards End of Initiative outcomes

16. Using the detailed and specific results and indicators drawn from its Initiative and Work Package level TOCs, each Initiative will submit a Type 1 report '**Progress towards end of Initiative outcomes**' using a standard template to answer the question '*What progress has the Initiative made towards its end of Initiative outcome(s) in the past year?*'.
17. Each Initiative has developed measurable three-year (End of Initiative) outcomes, supported by a set of detailed and specific results and indicators. The results framework from the *Building Systemic Resilience Against Climate Variability and Extremes* (ClimBeR) Initiative Proposal is included in Annex 3 as an illustrative example of the detail and specificity found at the Initiative level. Results and indicators developed by Initiatives include:
 - a. Unit of measurement
 - b. Geographic scope
 - c. Data source
 - d. Data collection method
 - e. Frequency of data collection
 - f. Baseline value and year
 - g. Target value and year
18. Importantly, Initiative results and indicators include **baseline** and **target** values that will be reported against. Initiatives will only be expected to report annually on those results and indicators included in their respective annual Plan of Results and Budget.
19. Initiative-level results will be tagged to show which Impact Areas they contribute to. Initiative-level results may contribute towards multiple Impact areas. This tagging will allow a clear mapping of impact pathways, and monitoring of progress towards impact contribution, whilst recognizing that evidence of impact achievement will not be possible annually. This requirement is covered in Type 2 Reporting.
20. All Initiatives have done the following: (1) stated End of Initiative outcomes against which they will report, (2) identified Monitoring, Evaluation, Learning and Impact Assessment studies they plan to undertake and (3) provided projections of how they would contribute to impact indicators.
21. The stated end of Initiative (Eol) outcomes are specific to each Initiative, but align well to the categories of results (policies, innovations, capacity) in the CGIAR Results Framework. The individual Initiative Type 1 reports will bring these indicators to life by contextualizing them by type of innovation or policy for example, and progress made in specific geographies. Some Initiatives have expressed an ambition to target use of innovations by beneficiaries as one of their Eol outcomes in 2024.
22. Progress towards policy or capacity outcomes will be provided in a qualitative way each

year, and tangible achievements will also be highlighted (e.g. evidence that a policy change has occurred).

23. With respect to use of innovations, Initiatives have developed and budgeted for Innovation Packages and Scaling Readiness (IPSR) Plans. Innovation packages are combinations of interrelated innovations and enabling conditions that, together, can lead to transformation and impact at scale. They are context, outcome, and use-group specific and their ability to contribute to outcomes and impact can change over time. Scaling Readiness is an evidence-based approach to support the design, implementation, monitoring and evaluation of strategies to increase readiness and use of innovations at innovation package and/or portfolio level.
24. Innovation Packages will provide an evidence-based, context-specific way to evaluate the potential of selected innovation packages to reach intended audiences. Using IPSR across the portfolio will also allow harmonized reporting on progress along both readiness and use dimensions of innovations, as well as to identify joint bottlenecks and opportunities that cut across Initiatives and Action Areas.
25. There is also a qualitative dimension to reporting on innovations in the sense of implementation partners being trained and eventually making the decision to scale them up to appropriate users. That can also be conveyed annually in the reports. In terms of quantification of the users of innovations, the extent to which Initiatives will be able to report these on annual basis using credible data, will vary. They will expect to receive monitoring information from partners each year, but these data may well reflect numbers of testers, rather than adopters, of an innovation. In addition, the data may not be interpreted as representing the full number of users (e.g. due to diffusion among farmers beyond awareness of partners) which may require a more carefully designed survey to measure. However, Initiatives will not have the budgetary resources to conduct high quality studies on adoption for all their innovations and geographies each year. Some Initiatives have identified such studies for 2024, however. Therefore, annual figures, where made available, will need to be interpreted with caution. The 3-year summative report from initiatives would give a better picture of their contribution to outcomes.
26. At the level of impact, we are not expecting individual Initiatives to conduct ex post impact assessment studies in the first phase 2022-2024. Rather, several are planning to roll out baselines where needed. Much of the impact assessment planned in the first three years are for rigorous testing of innovations using experimental methods – those results would then inform scaling decisions and ultimately pave the way for dissemination, tracking of adoption and ex post impact assessment studies. However, we think that in many cases it will be most logical and cost-effective to conduct ‘joined-up’ ex post impact assessments to account for the fact that in most countries of implementation, there are multiple Initiatives in operation sharing some interdependencies in impact pathways. For example, new seed varieties will benefit from innovations in agronomy and on policy options to advance adoption and impact.

27. To provide a summary of annual progress, a 3-point Likert scale will be applied to Work Package progress. Defined criteria will be used to determine and quality-assess the rating:

1. Above/meeting expected progress (Green),
2. Below expected progress (Yellow),
3. Significantly below expected progress (Red)

Proposed Type 1 Report template

28. Table 2 provides an overview of the Type 1 Report template, including Report Section title and Section detail.

Table 2 Type 1 Report template content

#	Report Section	Section detail
1	Fact sheet	<i>Provides overarching Initiative details (Initiative name, Action Area, Geographic scope, Budget, start – end dates, Lead and Deputy), Challenge statement, Measurable three-year (End of Initiative) outcomes, OECD climate change and gender scores.</i>
2	Initiative progress on science and towards End of Initiative outcomes	<i>Summarizes Initiative progress on science and against its Theory of Change towards End of Initiative outcomes (EOIOs) over the past 12 months. Derived from Work Package (WP) progress.</i>
3	WP-specific progress	<i>Summarizes WP progress against WP-TOC including assumptions, and research questions. Provides summary WP progress rating.</i>
4	Key results	<i>Describes key results achieved in the past year (science outputs, policy influence, innovation development and scaling, capacity development, aligned to standard CGIAR Results Framework result and indicator categories where possible). Sex-disaggregated where relevant.</i>
5	Impact pathway integration – external partners	<i>Based on partners (incl. typology) integrated in results delivery, summarizes Initiative partnership progress against TOC & End of Initiative outcomes.</i>
6	Impact pathway integration – CGIAR portfolio linkages	<i>Based on linkages with other Initiatives & non-pooled projects, summarizes Initiative integration and coordination in CGIAR portfolio.</i>
7	Adaptive management	<i>Summarizes challenges, failures, opportunities seized that deviate from TOC and effect progress towards EOIOs. Includes relevant content from MELIA studies, including independent evaluations.</i>

8	Key result story	<i>Packages a key Initiative result into a story format using common template & tool. Blends different data types and puts the result in the broader socio/economic/environmental context.</i>
---	------------------	--

29. The Type 1 Report template is intended to be short, targeted to audience needs, and relatively easy for Initiatives to generate. The Type 1 Report length is not expected to exceed 13 pages per Initiative. Figure 5 provides an indicative page length per Report section, noting that the Report will consist of a blend of narrative and dashboard-type content.

Indicative length/Report Section

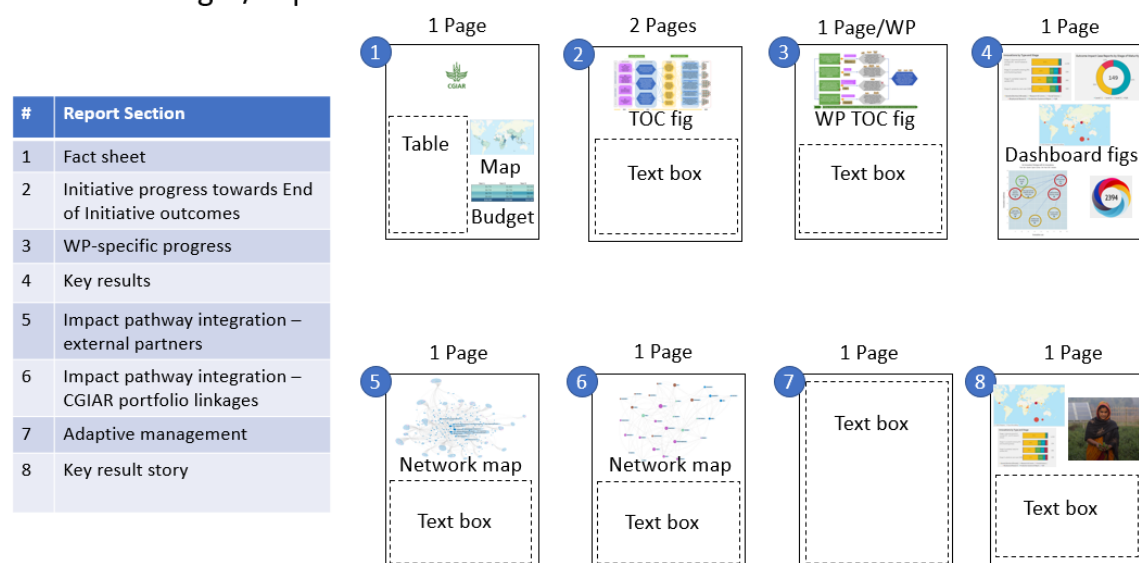


Figure 5 Indicative page length per Type 1 Report section – total Report length per Initiative is not expected to exceed 13 pages.

30. Type 1 Report content will be quality-assessed, provided online, with a results dashboard, and made available for download and printing as a PDF. Initiative content will be aggregated into a Portfolio Narrative. As previously mentioned, the Portfolio narrative will provide a broader view on portfolio coherence, including results, partnerships, country and regional engagement, and synergies among the portfolio's constituent parts. Type 3 report content (Portfolio Performance and Project Coordination progress) will be incorporated into the Portfolio narrative. The Technical Report will feed into the overall CGIAR Annual Report, led by Communications.

31. Note that the number of Key Result Stories (section 8) is set at minimum 1 per year. Additional stories could be generated based on supply (e.g. the Initiative has more results to report on and the resources available to package these into the required format) or demand (e.g. there is a compelling need for additional Key Result Stories and the resources available to package these).

Type 2 Reporting - Contribution to Action Area outcomes & Impact Areas/Collective Global 2030 Targets/SDGs

32. Type 2 Reporting provides assurance on portfolio level contribution to Action Area outcomes and Impact Area Collective Global 2030 Targets/SDGs. Scheduled to coincide with the end of CGIAR three-year Business Cycles (2024, 2027, 2030), Type 2 Reporting will provide a summary of contribution towards the CGIAR impacts (11 targets, 19 indicators) and Action Area outcomes (17 outcomes, 34 indicators) contained in the CGIAR Results Framework. Type 2 Reporting will feed into the Technical Report every three years.
33. Type 2 Reporting will include outcome and impact assessments conducted by initiatives as well as internal and external assessments designed and implemented at Action Area and Portfolio level. In the intervening years, should such studies be completed, they will be reported in the Annual Report. Their synthesis and implications for the portfolio will be in the third year of each Business Cycle (2024, 2027, 2030).
34. In this first 3-year Business Cycle, there will be more emphasis on planning, developing baselines and implementing early adoption studies, with ex post impact assessment studies becoming more prominent in the 2025-2027 and 2028-2030 Business Cycles. Exceptions will be cases where there are innovations already scaled up from previous research and where baselines had been set up for revisiting in the coming three years (these need to be identified and prioritized). Planning on coordinated impact assessment will commence with a focus on countries where large numbers of Initiatives will operate, with significant project benefits and thus where the need for coordinated impact assessment is highest.

Type 3 Reporting - Portfolio Performance and Project Coordination progress

35. Type 3 Reporting will provide an ‘under the hood’ view of progress made by CGIAR in adopting enhanced Portfolio Performance and Project Coordination management practices against a set of defined targets. Type 3 Report content will align to Portfolio Performance and Project Coordination Action Plans (both under development).
36. Funders will be engaged to ensure that Type 3 Reporting aligns to strategic interests. The initial framing (enhanced Portfolio Performance and Project Coordination management practices) could benefit from more strategic framing, for example ‘Enhanced end-to-end innovation management in CGIAR’.

CGIAR Results Framework

37. CGIAR has developed an over-arching results framework that provides both a conceptual and operational logic for the delivery of results³. CGIAR's results framework is directly aligned to the five Impact Areas and Sustainable Development Goals. Three distinct result types – outputs, outcomes and impacts – are mapped to the spheres of control, influence and interest, respectively (Figure 6).

38. The sphere of control is our operational environment, and we have direct control over it. The sphere of influence is where interactions with other food, land and water systems participants occur, and we exert direct influence over it. The sphere of interest houses social, economic, and environmental status and trends and we exert indirect influence over it via partners. The premise is that we cannot control all the changes we would like to see in a system, and that impact involves the interaction of many different factors and actors.

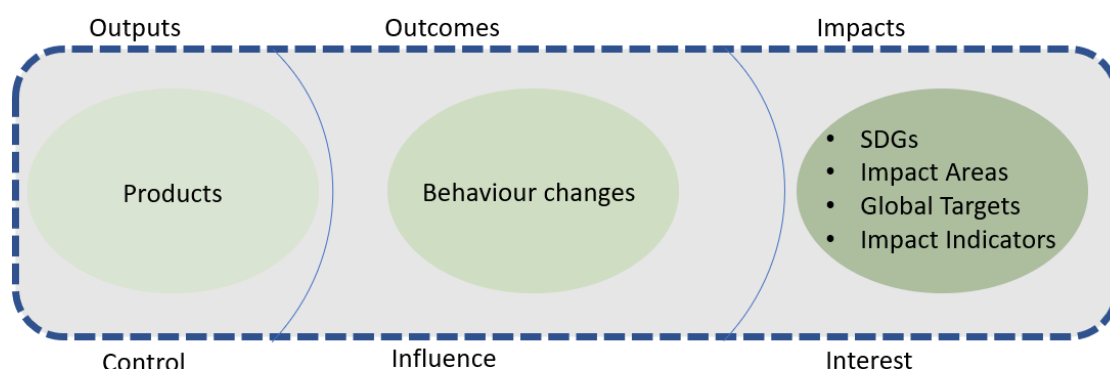


Figure 6 CGIAR's Results Framework aligns outputs, outcomes and impacts to the spheres of control, influence and interest.

39. CGIAR's result types are mapped respectively to the spheres of control, influence and interest:

1. **Outputs:** Knowledge, technical or institutional advancement produced by CGIAR research, engagement and/or capacity development activities. Examples of outputs include new research methods, policy analyses, gene maps, new crop varieties and breeds, or other research products. Outputs are generated by Initiatives and non-pooled projects.
2. **Outcomes:** A change in knowledge, skills, attitudes and/or relationships, which manifests as a change in output users' behavior, to which a combination of research outputs and related activities such as partnerships have contributed.

³ An early version of the CGIAR Results Framework (v1) was included in the [Performance and Results Management Framework](#). A revised version (v2) was included in the [Companion Document to the 2022-2024 CGIAR Investment Prospectus and is Annexed in this document. An enhanced version \(v3\) is under development.](#)

Outcomes can occur within the lifespan of an Initiative/project, culminating in end-of-Initiative outcomes, as well further into the future, in which case the outcome is housed at the Action Area level.

3. Impacts: A durable change in the condition of people and their environment brought about by a chain of events or change in how a system functions and to which research, innovations, and related activities have contributed.

40. The CGIAR Results Framework includes a small set of standard result and indicator categories that provide the overall framing and basis for aggregating the detailed and specific results and indicators reported by individual Initiatives. Further detail on indicators, including standard Indicator Description Sheets, will be developed in 2022. The small set of standard CGIAR indicators will be reviewed every 3-year Business Cycle.

41. Initial analysis indicates that the small set of standard result (output and outcome) indicator categories in the CGIAR Results Framework provide coverage for 84% (1092) of the 1300 Initiative output and outcome indicators included in the 31 Initiative Proposals submitted to date:

- 1. Science outputs**

- # Peer-reviewed papers
- # Scientific and research products in other categories

- 2. Policies**

- # of targeted policy processes (strategies, policies, regulations, investments, programs, etc) informed/influenced

- 3. Innovations**

- # of people (m/f) reached by CGIAR innovations
- # of Ha/other unit affected by CGIAR innovations
- # of core innovations profiled/# innovation packages designed
- Core innovation readiness progress
- innovation package readiness & use progress

- 4. Capacity**

- Changes in organizational and network capacity achieved
- # of people (m/f) trained through this Initiative

42. Initiatives may need to use specific indicators that do not fit easily within the standard CGIAR categories to plan, monitor, report and learn from progress towards End of Initiative outcomes (e.g. # accessions provided), and an 'Initiative-specific' category was created for these very specific indicators. Initial analysis indicates that 16% (208) of the 1300 within-Initiative indicators used by the 31 Initiative Proposals do not align with standard indicator categories proposed in the CGIAR Results Framework, and so would fit in the 'Initiative-specific' category. Providing an aggregate overview of the 'Initiative-specific' category may not be possible, but these very specific results and indicators will still form part of Initiative-level Type 1 Reports.

43. The CGIAR Results Framework is being progressively enhanced and its ability to integrate and aggregate non-pooled results and indicators is being tested. Our stated ambition is to progressively include non-pooled results and indicators into a common reporting approach. This involves collecting non-pooled results and indicators from across CGIAR, and mapping these back against the CGIAR Results Framework to determine what, if any, modifications to results and indicator categories may be required. This is the same process undertaken with Initiative results and indicators against the CGIAR Results Framework (Figure 7). 4104 indicators from 425 non-pooled CGIAR grants have been collected from across the CGIAR (representing around 15% of CGIAR's 2700 or so active grants). This means that CGIAR may currently be reporting against over 25,000 individual indicators, providing a huge opportunity to rationalize approach and costs associated with indicator definition and use.

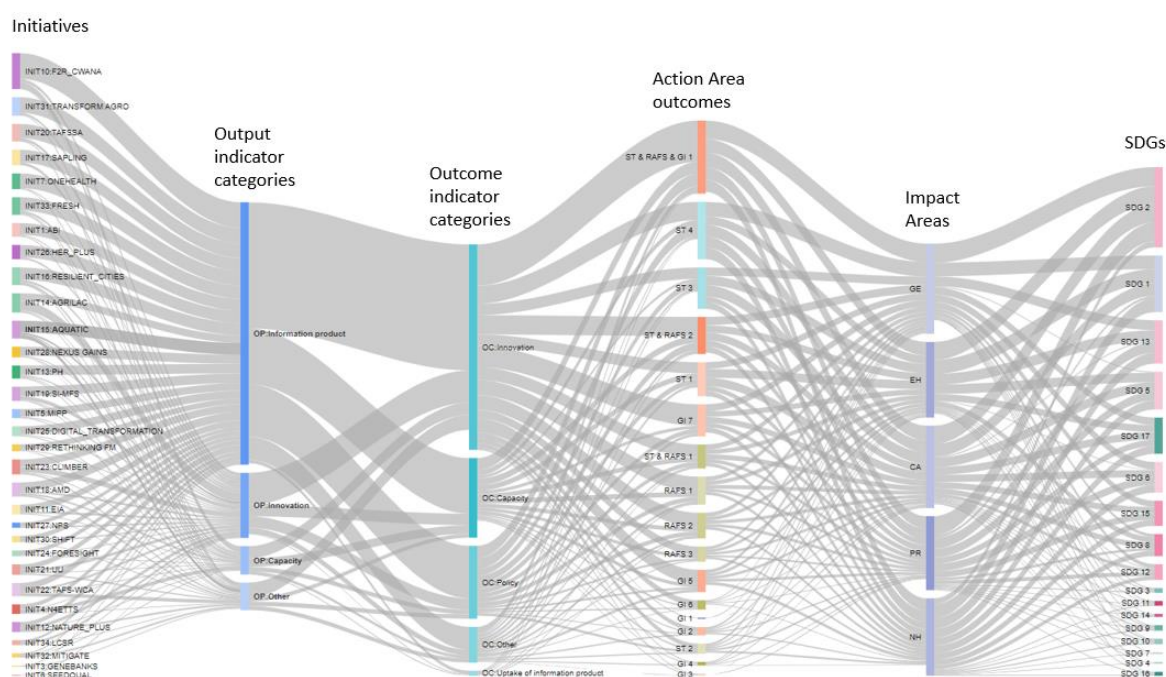


Figure 7 A Sankey diagram generated by mapping Initiative results and indicators back against the CGIAR Results Framework. A similar exercise will be carried out using non-pooled grant results and indicators to test and enhance the CGIAR Results Framework.

Report – Reflect – Plan

44. Initiative teams, working with Science Group Directors, would meet shortly after Type 1 Reporting to deliberatively consider their performance data from the previous year, alongside their latest contextual understanding, against their Initiative and Work Package Theories of Change. They would update their expectations of the years ahead, and make, and document, decisions on any reprioritization of resources within or between work packages considering this reflection. This gives space and structure for evidence-informed reflective science leadership for impact by Initiative teams.
45. On the basis of these reflections, Science Group Directors and the Initiative's leadership would:
1. Make any internal reprioritisation decisions, within or between Work Packages, to maximise expected contribution to impact in the year ahead,
 2. Briefly document these reprioritisation decisions and supporting rationale,
 3. Update (if required) the Initiative's TOCs, risk register and mitigating actions,
 4. Inform delivery of the Plan of Results and Budget for the year ahead, in which any internal reallocation of finance or staff between work packages would be formalised.
46. This 'Report-Reflect-Plan' process can be summarized as "What" (Type 1 Report), "So what" (Learning stage-gate), and "Now what" (Plan of Results and Budget) (Figure 8).

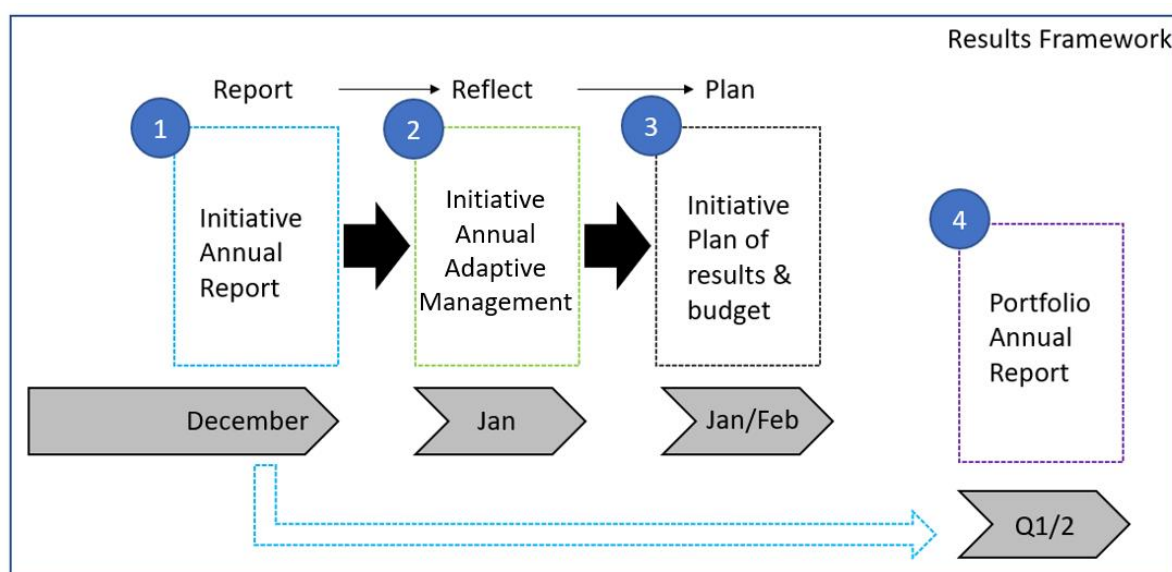


Figure 8 CGIAR will use reported information to inform annual adaptive management, which in turn inform the Plan of Results and Budget in a 'Report – Reflect – Plan' sequence.

47. The Annual Adaptive Management process ("Reflect") will generate input to Type 1 Report section 7 "Adaptive Management" and feed into the Plan of Results and Budget for the coming year.
48. The framework for annual adaptive management and 3-year assurance stage-gates is set out in Figure 9, below. Note that the 3-year assurance stage-gates will be informed by

Annual Reports, annual adaptive management, and independent evaluations⁴.

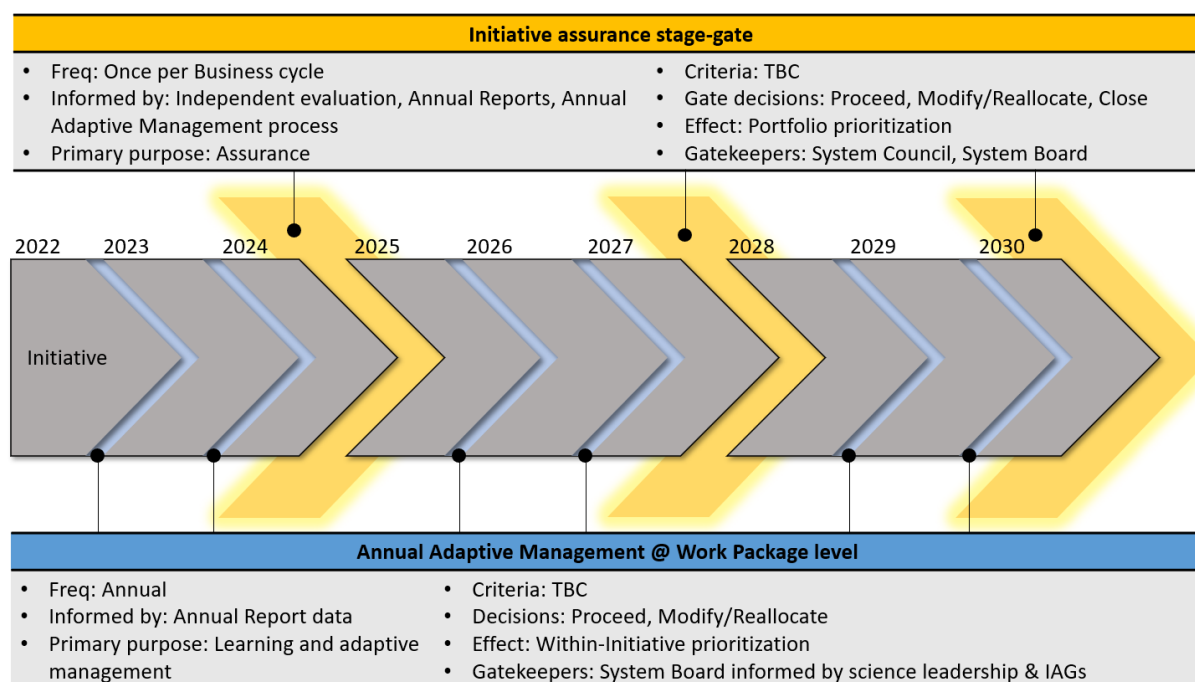


Figure 9 The annual adaptive management process (blue) is combined with once per Business Cycle assurance stage-gates (yellow).

⁴ Independent evaluations will be conducted in line with the [CGIAR Evaluation Framework](#) and [CGIAR Evaluation Policy](#)

Annex 1 – Supporting materials

- [CGIAR Performance and Results Management Framework 2022-2030](#) – December 2020
- [CGIAR Performance and Results Management Concepts](#) - March 2021
 - Annotated presentation to IAG
- [Companion Document to the 2022-2024 CGIAR Investment Prospectus](#) – October 2021
 - Section 4. Coherence and cohesion through integrated portfolio performance management
- [MELIA Glossary](#) – November 2021
- [CGIAR Evaluation Framework](#) and [CGIAR Evaluation Policy](#) – March 2022

Annex 2 – CGIAR Results Framework⁵

Collective 2030 global targets across five impact areas (SDG-related and other 2030 targets to which CGIAR will contribute, and assess impact against)					
Impact Area	Nutrition, health and food security	Poverty reduction, livelihoods and jobs	Gender equality, youth and social inclusion	Climate adaptation and mitigation	Environmental health and biodiversity
Collective global 2030 targets	<p>End hunger for all and enable affordable, healthy diets for the 3 billion people who do not currently have access to safe and nutritious food.</p> <p>Reduce cases of foodborne illness (600 million annually) and zoonotic disease (1 billion annually) by one third.</p>	<p>Lift at least 500 million people living in rural areas above the extreme poverty line of US \$1.90 per day (2011 PPP).</p> <p>Reduce by at least half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions.</p>	<p>Close the gender gap in rights to economic resources, access to ownership and control over land and natural resources for over 500 million women who work in food, land and water systems.</p> <p>Offer rewardable opportunities to 267 million young people who are not in employment, education or training</p>	<p>Implement all National adaptation Plans (NAP) and Nationally Determined Contributions (NDC) to the Paris Agreement.</p> <p>Equip 500 million small-scale producers to be more resilient to climate shocks, with climate adaptation solutions available through national innovation systems.</p> <p>Turn agriculture and forest systems into a net sink for carbon by 2050, with emissions from agriculture decreasing by 1 Gt per year by 2030 and reaching a floor of 5 Gt per year by 2050</p>	<p>Stay within planetary and regional environmental boundaries: consumptive water use in food production of less than 2,500 km³ per year (with a focus on the most stressed basins), zero net deforestation, nitrogen application of 90 Tg per year (with a redistribution towards low-input farming systems) and increased use efficiency; and phosphorus application of 10 Tg per year.</p> <p>Maintain the genetic diversity of seed varieties, cultivated plants and farmed and domesticated animals and their related wild species, including through soundly managed genebanks at the national, regional, and international levels.</p>

⁵ Note that the CGIAR Results Framework is being enhanced and a new version (v3) will be released in 2022.

Common impact indicators	#people benefiting from relevant CGIAR innovations #people meeting minimum dietary energy requirements #people meeting minimum micronutrient requirements #cases communicable and non-communicable diseases	#people benefiting from relevant CGIAR innovations #people assisted to exit poverty	women's empowerment and inclusion in the agricultural sector #women benefiting from relevant CGIAR innovations #youth benefiting from relevant CGIAR innovations #women assisted to exit poverty	#tonnes CO2 equivalent emissions #plans with evidence of implementation #\$ climate adaptation investments #people benefiting from climate-adapted innovations	#ha under improved management #km3 consumptive water use in food production #ha deforestation #Tg nitrogen application #plant genetic accessions available and safely duplicated
Systems Transformation Action Area outcomes			Indicators		
ST 1 - Farmers use technologies or practices that contribute to improved livelihoods, enhance environmental health and biodiversity, are apt in a context of climate change, and sustain natural resources.			STi 1.1 - Number of farmers using climate smart practices disaggregated by gender		
			STi 1.2 - Number of farmers using agroecological practices disaggregated by gender		
			STi 1.3- Measurable implications of adoptions such as production, profitability, input use, product quality and associated price, environmental and health damage avoided, livelihood, and employment		
ST 2 - Consumers have the information, incentives and wherewithal to choose healthy diets.			STi 2.1 Diet quality score		
ST 3 - Governments and other actors take decisions to reduce the environmental footprint of food systems from damaging to nature positive.			STi 3.1 Area of land under improved mitigation plans (or area that is decreasing in net carbon emissions – more ambitious and longer term)		
			STi 3.2 Area under improved water use plans (or water use efficiency measures – more ambitious and longer term)		
			STi 3.3 Trends in measures of non-point pollution where available.		
ST 4 - Food system markets and value chains function more efficiently, equitably, and sustainably and lead towards healthier diets			STi 4.1 Number of commodity value chain x country combinations that use tested innovations to improve efficiency, inclusion, sustainability and nutrition objectives.		
			STi 4.2 Gaps between farm/processor gate and consumer prices (with some measures focused on smallholder farmers if possible)		
			STi 4.3 Domestic market price integration, both spatial and temporal		
			STi 4.4 Improved international price and exchange rate transmission		
			STi 4.5 Trends in relative prices of healthy to unhealthy foods		
Shared Systems Transformation and Resilient Agrifood Systems Action Area outcomes			Indicators		
ST & RAFS 1 - Smallholder farmers implement new practices that mitigate risks associated with extreme climate change and environmental conditions and achieve more resilient livelihoods			STRAFSi 1.1 Number of smallholder farmers who have implemented new practices that mitigate climate change risks, disaggregated by gender and type of practice		

ST & RAFS 2 - National and local governments utilize enhanced capacity (skills, systems and culture) to assess and apply research evidence and data in policy making process	STRAFSi 2.1 Number of policies/ strategies/ laws/ regulations/ budgets/ investments/ curricula (and similar) at different scales that were modified in design or implementation, with evidence that the change was informed by CGIAR research
Resilient Agrifood Systems Action Area outcomes	Indicators
RAFS 1 - Smallholder farmers use resource-efficient and climate-smart technologies and practices to enhance their livelihoods, environmental health and biodiversity	RAFSi 1.1 Number of resource-efficient and climate-smart technologies at stage IV (uptake by next user), disaggregated by type
RAFS 2 - Research and scaling organizations enhance their capabilities to develop and disseminate RAFS-related innovations	RAFSi 2.1 Number of organizations
RAFS 3 - Public and private financial resources are invested to fund climate-smart business models.	RAFSi 3.1 Total amount (USD) invested in climate smart business models
Genetic Innovation Action Area outcomes	Indicators
GI 1 - Researchers and breeders use high-quality accessions data to efficiently access genetic resources from genebank collections operating to international performance standards	Gli 1.1 Number of accessions data used at various levels of the breeding pipeline (level of use: used in crosses, backcrosses, incorporated in elite germplasm)
GI 2 - CGIAR & partners use high-quality market intelligence to guide the development of new varieties to meet the needs and expectations of a wide-range of users, with special attention to marginalized groups.	Gli 2.1 Proportion of new released varieties developed in alignment with market intelligence-informed product profiles
GI 3 - CGIAR & partner breeding programs use state-of-the art technologies to accelerate variety development and quality.	Gli 3.1 Realized and predicted rates of genetic gain in farmer's fields and farmer relevant-conditions in the form of farmer-preferred varieties
	Gli 3.2 Increase in the capacity of CGIAR-NARES-SME breeding networks
GI 4 - CGIAR & partner breeding programs use best practices and shared services to rapidly and efficiently produce new varieties with in-demand traits.	Gli 3.1 Realized and predicted rates of genetic gain in farmer's fields and farmer relevant-conditions in the form of farmer-preferred varieties
	Gli 3.2 Increase in the capacity of CGIAR-NARES-SME breeding networks
GI 5 - Cooperation and co-investment by CGIAR, public- and private-sector seed-system actors supports coordinated and effective research and investment in the sector	Gli 5.1 Number of genetic innovations commercialized through public/private sector cooperation agreements
	Gli 5.2 Number of public/private sector cooperation agreements
GI 6 - Seed-sector actors' investments pipelines are profitable and effective in scaling-up new varieties from CGIAR breeding.	Gli 6.1 number of CGIAR-NARES-SME new varieties being scaled-up by seed-sector actors
	Gli 6.2 Production volumes of seed or clones by Seed system actors
GI 7 - Farmers have access to and use climate-resilient, nutritious, market-demanded crop varieties.	Gli 7.1 Number of farmers who grow climate-smart crop varieties, disaggregated by gender
	Gli 7.2 Number of farmers who grow crop varieties with increased nutritional content, disaggregated by gender
	Gli 7.3 Area weighted average age of varieties in Farmers' fields

Shared Systems Transformation, Resilient Agrifood Systems, and Genetic Innovation Action Area outcomes	Indicators
ST & RAFS & GI 1 Women and youth are empowered to be more active in decision making in food, land and water systems	STi 1.1 - Number of farmers using climate smart practices disaggregated by gender
	STi 1.2 - Number of farmers using agroecological practices disaggregated by gender
	STRAFSGli 1.1 Positive trends in the Women's Empowerment in Agriculture Index (WEIA) at various scales including nationally
	STRAFSGli 1.2 Number of women, youth and people from marginalized groups who report input into productive decisions, ownership of assets, access to and decisions on credit, control over use of income, work balance, and visiting important locations
	STRAFSGli 1.3 Number of farmers who grow market intelligence-informed new crop varieties, disaggregated by gender and age
	STRAFSGli 1.4 Percentage of female headed farm households that use an improved crop variety

Within-Initiative/Project Result types and Indicator categories (please see individual Initiative proposals for intended results (outputs and outcomes) and associated indicators)	
Outcomes	<p>Policy:</p> <ul style="list-style-type: none"> Number of policies/ strategies/ laws/ regulations/ budgets/ investments/ curricula modified in design or implementation, informed by CGIAR research. <p>Three levels of maturity:</p> <p>(i) research taken up by next user, (ii) policy enacted, (iii) evidence of impact on people and/or environment of the policy.</p> <hr/> <p>Innovation:</p> <ul style="list-style-type: none"> Number of beneficiaries using the CGIAR innovation, disaggregated by gender. Other quantitative measure of CGIAR innovation use (e.g. area) <hr/> <p>Capacity:</p> <ul style="list-style-type: none"> Change in the capacity of key (a) Individuals, (b) Organizations (government, civil society and private sector), and (c) Networks (e.g. multi-stakeholder platforms). <p>Three levels of maturity:</p> <p>(i) unrealized alignment and contribution to shared objectives (ii) mid-point alignment and contribution to shared objectives (iii) full alignment and contribution to shared objectives</p> <hr/> <p>Uptake of information product:</p> <ul style="list-style-type: none"> Altmetric score
Outputs	<p>Innovation:</p> <ul style="list-style-type: none"> Number of innovations <p>Four levels of maturity*:</p> <p>i) end of research phase (discovery/proof of concept); ii) end of piloting phase (if relevant); iii) available for uptake; iv) uptake by next user</p> <p>*Stage 4 innovations are by definition outcomes and will be reported as such. The 4 point maturity scale will be reviewed over time to align with scaling readiness and use criteria.</p> <hr/> <p>Capacity:</p> <ul style="list-style-type: none"> Number of people trained, long-term (including Masters and PhDs) and short-term, disaggregated by gender <hr/> <p>Information product:</p> <ul style="list-style-type: none"> Number of peer reviewed journal papers Number of other information products/data assets (including: reports, briefs, extension, training and e-learning content and other materials, books and book chapters, data and databases, data collection and analysis tools (e.g. models and survey tools), video, audio and images, graphics, maps, and other GIS outputs, computer software, models and code, digital and mobile applications, and web-based services (e.g. websites, data portals, online platforms)

Annex 3 Initiative-level results framework (Building Systemic Resilience Against Climate Variability and Extremes - ClimBeR – used as illustrative example)

6. Monitoring, evaluation, learning and impact assessment (MELIA)

6.1 Result framework

CGIAR Impact Areas				
Nutrition, health and food security	Poverty reduction, livelihoods and jobs	Gender equality, youth and social inclusion	Climate adaptation and mitigation	Environmental health and biodiversity
Collective global 2030 targets				
The collective global 2030 targets are available centrally here to save space.				
Common impact indicators that your Initiative will contribute to and will be able to provide data towards				
# people benefiting from relevant CGIAR innovations	# people benefiting from relevant CGIAR innovations	# women benefiting from relevant CGIAR innovations	# people benefiting from climate-adapted innovations	# ha under improved management
SDG targets				
2.4, 17.3, 17.6, 17.7, 17.9, 17.14, 17.15	1.1, 1.a, 1.b, 17.3, 17.6, 17.7, 17.9, 17.14, 17.15, 17.17	1.b, 5.a, 5.b, 13.3, 13.b, 16.b, 16.7, 17.6, 17.7, 17.9, 17.14, 17.15, 17.17	1.5, 2.4, 13.1, 13.2, 13.3, 13.a, 13.b, 17.3, 17.6, 17.7, 17.9, 17.14, 17.15, 17.17	2.4, 15.a, 17.3, 17.6, 17.7, 17.9, 17.14, 17.15, 17.17
Systems Transformation				
Action Area outcomes		Action Area outcome indicators		
ST 1 - Farmers use technologies or practices that contribute to improved livelihoods, enhance environmental health and biodiversity, are apt in a context of climate change, and sustain natural resources		STi 1.1 - Number of farmers using climate smart practices disaggregated by gender		
		STi 1.2 - Number of farmers using agroecological practices disaggregated by gender		
		STi 1.3- Measurable implications of adoptions such as production, profitability, input use, product quality and associated price, environmental and health damage avoided, livelihood, and employment.		
ST 4 - Food system markets and value chains function more efficiently, equitably, and sustainably and lead towards healthier diets		STi 4.1 Number of commodity value chain x country combinations that use tested innovations to improve efficiency, inclusion, sustainability and nutrition objectives.		
		STi 4.2 Gaps between farm/processor gate and consumer prices (with some measures focused on smallholder farmers if possible)		
		STi 4.3 Domestic market price integration, both spatial and temporal		
		STi 4.4 Improved international price and exchange rate transmission		
		STi 4.5 Trends in relative prices of healthy to unhealthy foods		

ST & RAFS 1 - Smallholder farmers implement new practices that mitigate risks associated with extreme climate change and environmental conditions and achieve more resilient livelihoods					STRAFSi 1.1 Number of smallholder farmers who have implemented new practices that mitigate climate change risks, disaggregated by gender and type of practice.						
ST & RAFS 2 - National and local governments utilize enhanced capacity (skills, systems and culture) to assess and apply research evidence and data in policy making process					STRAFSi 2.1 Number of policies/ strategies/ laws/ regulations/ budgets/ investments/ curricula (and similar) at different scales that were modified in design or implementation, with evidence that the change was informed by CGIAR research						
ST & RAFS & GI 1 Women and youth are empowered to be more active in decision making in food, land and water systems					STi 1.1 - Number of farmers using climate smart practices disaggregated by gender						
					STi 1.2 - Number of farmers using agroecological practices disaggregated by gender						
					STRAFSGli 1.1 Positive trends in the Women's Empowerment in Agriculture Index (WEIA) at various scales including nationally						
Initiative and Work Package outcomes, outputs and indicators											
Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
Work Package 1: DE-RISK: Reducing risk in production system-linked livelihoods and value chains at scale											
Outcome	Bundled ClimBeR climate services being used by at least 300,000 farmers in six focal countries by 2024.	# beneficiaries using the innovation, disaggregated by gender.	Household	National: Senegal Zambia Kenya Morocco Guatemala Philippines	Primary data source	Household questionnaires ClimBeR's management information system	Midpoint/18 months	0	2022	300,000	2024
Outcome	By 2024, international agencies and policymakers will use ClimBeR products to shape at least nine policies or investments to strengthen agricultural resilience, including at least three aimed at reducing agriculture-	# policies	Generic number	National: Senegal Zambia Kenya Morocco Guatemala Philippines	Primary data source	Key informant interviews Social media/Text mining ClimBeR's management information system	Annual	0	2022	9	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
	related CS risk.										
Outcome	At least US\$30 million in new investments made by 2024 focusing on disadvantaged groups, women, youth and vulnerable smallholder farmers that are contributing to building systemic resilience.	# investments	Generic number	National: Senegal Zambia Kenya Morocco Guatemala Philippines	Primary data source	Key informant interviews ClimBeR's management information system	Once at the end of the Initiative	Since our focus will not be on the total amount of new investment, rather it is targeting women and other very vulnerable people, the baseline value will be calculated once the Initiative starts implementation	2022	US\$30 million	2024
Output	Data assets in relation to how to build systemic resilience against climate variability and extremes	# peer-reviewed journal papers	Generic number	Global	Primary data source	ClimBeR's management information system	Annual			5	2024
Work Package 1: DE-RISK: Reducing risk in production system-linked livelihoods and value chains at scale											
Output	Agricultural risk	# policies	Generic	National:	Primary	ClimBeR's	Once at the			2	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
	strategy		number	Kenya Zambia	data source	management information system	end of the Initiative				
Output	Climate information service tools	# innovations # other information products	Generic number	National: Guatemala Kenya	Primary data source	ClimBeR's management information system	Once at the end of the Initiative			2	2024
Output	Climate risk profiling system	# innovations # other information products	Generic number	National: Senegal Morocco Philippines	Primary data source	ClimBeR's management information system	Once at the end of the Initiative			3	2024
Output	Production system typology with a nutrition lens	#frameworks developed	Generic number	National: Senegal Kenya Zambia Morocco	Primary data source	ClimBeR's management information system	Once at the end of the Initiative			4	2024
Work Package 2: Building production-system resilience through recognizing the relationships among climate, agriculture, security, and peace											
Output	Climate security proofing guidelines	# innovations # other information products	Generic number	Global National: Senegal Kenya Zambia Guatemala Philippines	Primary data source	Key informant interviews Social media/Text mining	Annual			6 innovations (1 global and 5 national) 5 training activities 15 workshops 5 qualitative data collection (1 per country)	2024
Output	Climate Security Policy Coherent toolkit	# innovations # other information products	Generic number	Global National: Senegal Kenya	Primary data source	Key informant interviews Social media/Text	Annual			6 innovations 5 training activities	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
				Zambia Guatemala Philippines		mining				15 workshops 5 reports 5 qualitative data collections	
Output	Climate security index	# innovations # other information products	Generic number	Global National: Senegal Kenya Zambia Guatemala Philippines	Primary data source	Key informant interviews Social media/Text mining	Annual			1 global innovation 5 national innovations 5 trainings 15 workshops 5 reports 5 qualitative data collection	2024
Output	Climate Security Observatory	# innovations # other information products	Generic number	Global Regional National: Senegal Kenya Zambia Guatemala Philippines	Primary data source	Key informant interviews Social media/Text mining	Annual			1 global innovation 5 innovations 5 innovations 10 trainings 30 workshops 5 reports 5 qualitative data collection (1 global web-based service and 5 web-based	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
										services	
Work Package 3: Developing adaptation instruments to inform policy and investments											
Output	Policy pathways for socially equitable climate-resilient nutrition-secure futures	# policies	Generic number	National: Zambia	Primary data source Policy Review	Key stakeholder interviews	First and Second year			1	2024
Output	Policy pathways to mainstream disruptive niche bottom-up initiatives	# workshop reports # policies modified in design or implementation	Generic number	National: Guatemala	Primary data source Grey literature review Policy review	Key stakeholder interviews and questionnaires Policy analysis	First and second year			1 workshop report 1 policy modified	2024
Output	Policy pathways for climate-resilient, nutrition-secure, and socially equitable futures	# innovations # training workshop reports # training manuals # policy and technical briefs # policy dialogues/engagements	Generic number	National: Kenya	Primary data source Policy Review	Key stakeholder consultations, Desk reviews News reports	Annual			1 innovation 1 training workshop 1 training manual 1 policy brief 1 policy dialogue	2024
Work Package 4: Multiscale governance for transformative adaptation											
Output	Bottom-up polycentric governance model for climate adaptation	# policy consultation workshop # policy and technical brief # operational guidelines	Generic number	Global National: Senegal Morocco Kenya Zambia Guatemala	Primary and Secondary data sources	Focus group discussion, Key stakeholder interviews, Desk review	Annual			1 global policy consultation with regional partner 5 country consultation	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
										ns workshops 5 country specific policy briefs 1 review paper and literature database	
Output	Integrated framework with 'Leave No One Behind Indicators'	# policy consultation workshop # policy and technical brief # frameworks developed	Generic number	Global National: Senegal Morocco Kenya Zambia Guatemala	Primary and Secondary data sources	Focus group discussion, Key stakeholder interviews, Desk review	Annual			1 global consultation 5 country consultations workshops 5 country specific metadata including quantitative and qualitative data collection 5 country specific framework and technical policy reports	2024
Output	ClimaAdapt.Gov Dashboard	# climate adaptation strategies # repository of indicators	Generic number and household	Global National: Senegal Morocco Kenya	Primary and Secondary data sources	Focus group discussion, Key stakeholder consultation review of	Annual			1 global dashboard with country specific	2024

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
		# technical workshops # training events		Zambia Guatemala		existing platform and system development				information 5 country specific updated multiscale climate adaptation plans 5 country specific workshop trainings	
Output	AWARE platform	# innovations # workshop reports	Generic number and household	Global National: Senegal Morocco Kenya Zambia Guatemala	Primary and Secondary data sources	Focus group discussion, Key stakeholder consultation review of existing platform and system development	Annual			1 global platform with country specific information 5 country specific workshop trainings	2024
Innovation Packages and Scaling Readiness											
Output	Innovation Profile and Scaling Ambition	# selected Core Innovations for which scaling ambition, vision of success and roadmap have been co-created, agreed-upon and documented	Generic number	National	Primary and secondary data sources	Focus group discussion, key stakeholder interviews, desk review	Once			3	2023

Result type	Result	Indicator	Unit	Geographic scope	Data source	Data collection method	Frequency	Baseline value	Baseline year	Target value	Target year
Output	Evidence-based Scaling Strategies	# Initiative Innovation Packages that have undergone evidence-based and quality controlled/ validated Scaling Readiness assessments informing innovation and scaling strategies	Generic number	National	Primary and secondary data sources	Focus group discussion, key stakeholder interviews, desk review	Twice between 2023-2024			3	2023 (1) and 2024 (2)