

Approved by Executive Managing Director (EMD)
Responsible Official Director, Portfolio Performance Unit
Document name Process for Developing, Tracking and Reporting of Management Responses to Evaluations
Version 1.0
Effective date 23 April 2024

Process Note: Developing, Tracking and Reporting on Management Responses to Evaluations

Revision History

Version	Effective date	Approved by	Summary of changes
1.0	23 April 2024	Ismahane Elouafi	Document created

Table of contents

1. Purpose	3
2. Background	3
3. Roles and responsibilities	4
4. Overview of the Management Response process	5
5. Process for implementation tracking and reporting on Management Responses	8
6. Products	8
7. Related resources	9
Annex 1: Details requested for Management Response actions	10
Annex 2: Detailed version of Figure 2	11
Annex 3: Request for approval to cancel a Management Response Action	12

1. Purpose

This document defines the roles and responsibilities related to developing, tracking and reporting on Management Responses to evaluations and aligns with the requirement to prepare and submit Management Responses to Evaluations commissioned by the System Council,¹ outlined further in the [CGIAR Evaluation Policy](#) (2022) and the accompanying guideline entitled, Management Engagement and Response: Process and Performance Evaluations in CGIAR (2023) (pre-read to SC19

https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2_Additional-MER-Guidelines-Consultation-Version.pdf)².

- **Key point 1:** The Portfolio Performance Unit (PPU) is responsible for coordinating CGIAR's development of Management Responses (*Article 11 of the [Charter of the CGIAR System Organization](#) System Management Office II) coordinate preparation of a management response to the System Council on system-wide evaluations, and mm) monitor implementation of decisions arising from evaluations of CGIAR Research*).
- **Key point 2:** PPU will track and report on Management Response implementation in January and June of each year.
- **Key point 3:** The annual [CGIAR Portfolio Performance Management and Project Coordination Practice Change \(Type 3\) Report](#) (a component of the CGIAR Technical Report) includes a section on the progress of implementation for Management Response actions.

2. Background

This Process Note was developed to address the absence of an overarching process description for developing, tracking and reporting on MRs although framework and policy documents for Evaluations and consequent MRs do exist. The [CGIAR Technical Reporting Arrangement](#) and an evolving CGIAR organizational structure meant that there was lack of clarity on roles and responsibilities and confusion about what is in or out of scope. The Process Note provides clarity on those key issues.

- The Portfolio Performance Unit (PPU) is responsible for coordinating CGIAR's development of Management Responses (*Article 11 of the [Charter of the CGIAR System Organization](#) System Management Office II) coordinate preparation of a management response to the System Council on system-wide evaluations, and mm) monitor implementation of decisions arising from evaluations of CGIAR Research*).
- The PPU will track and report on Management Response implementation in January and June of each year.
- The annual [CGIAR Internal Practice Change \(Type 3\) Report](#) (2022 as an example, a component of the CGIAR Technical Report) includes a section on the progress of implementation for Management Response actions.

The Process Note was prepared with inputs from various colleagues, namely the team from the IAES, evaluation function and other subject matter experts, the Governance Team and Management (Olwen Cussen, Emma Quilligan, Michiel Roovers, Sylvia Oyinlola, Frank Place and Roland Sundstrom). The same colleagues have had the opportunity to review the final draft and provide comments.

¹ For other evaluative reviews and exercises MR is as specified by the commissioner and/or on a voluntary basis, for example [MR to PIM CRP Evaluative review](#) (2020)

² Final MER Evaluation Guidelines is available on IAES Evaluation Guidelines repository <https://iaes.cgiar.org/evaluation/guidelines>

Document category: Internal to CGIAR. This document forms part of an internal process and therefore should not be shared publicly at this time.

PRESENTED BY: The Portfolio Performance Unit (PPU) and Governance and Institutional Risk

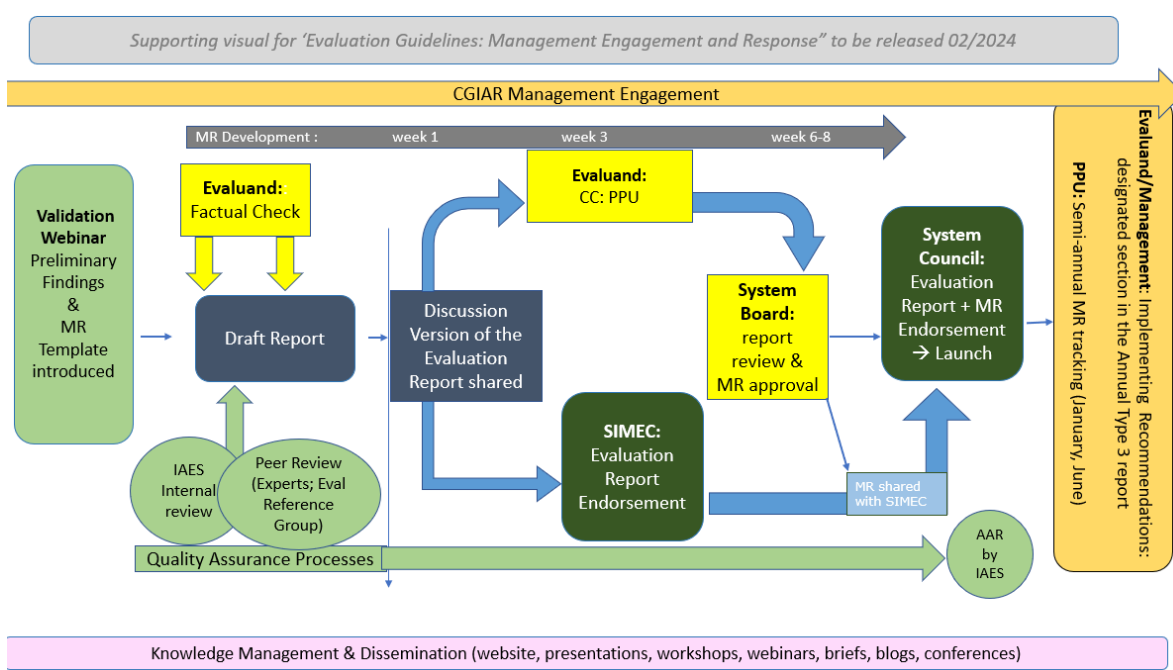
3. Roles and responsibilities

As stated in the [CGIAR Evaluation Policy](#), a Management Response is a formal response to evaluation recommendations – a key tangible output of engagement led by management of evaluands.

Management Responses help ensure that evaluations are used and contribute to organizational effectiveness, learning and accountability, and set out concrete and time-bound commitments from management to implement evaluation recommendations. The systematic follow-up to evaluation recommendations is recognized in the CGIAR Evaluation Policy as an integral part of the evaluative process (for more information see [CGIAR Evaluation Policy](#), [CGIAR Evaluation Guidelines](#) and [Management Engagement and Response: Process and Performance Evaluations in CGIAR](#) ([here](https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2_Additional-MER-Guidelines-Consultation-Version.pdf), based on pre-read to SC19 https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2_Additional-MER-Guidelines-Consultation-Version.pdf). See also the 2019 [MOPAN Assessment which details the recommended good practices for MR action monitoring in multilateral organizations](#).

The Evaluation Policy also states that a Management Response tracking system be implemented to document Management Responses and follow-up actions to evaluations. Figure 1 illustrates the flow, whereas figure 2 and table 1 provide additional detail.

Figure 1. Management Response Flow (IAES Management Engagement and Response Guidelines)



As such, and in alignment with Article 11, ll and mm of the [Charter of the CGIAR System Organization](#) PPU has been mandated to:

- Coordinate development of Management Responses to evaluations.
- Track implementation of Management Responses to evaluations.
- Report on the implementation progress of Management Responses to evaluations, at regular and agreed-upon intervals.

In response to this mandate:

- PPU has developed a [Management Response tracking tool](#), which is in use.
- With regard to reporting, the [CGIAR Technical Reporting Arrangement](#) describes an annual, Portfolio-level report on internal CGIAR practice change (Type 3 report), which is released in Q2 annually. The Type 3 report includes a section on implementation progress of Management Responses to evaluations.

All Management Responses, whether required or voluntary, will be tracked and reported on by PPU.

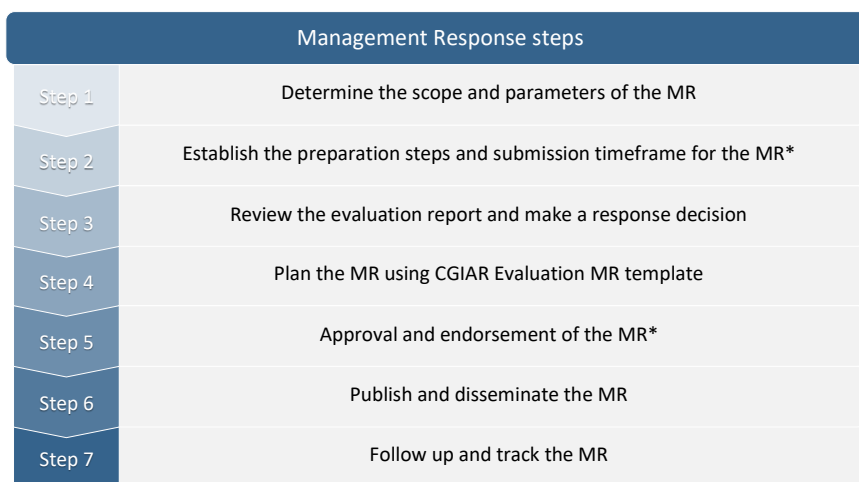
In accordance with this process note, PPU will supply process updates during the Management Response phase to EMD Office, Evaluands, Governance, IAES and other actors with accountabilities and responsibilities during the implementation of the MR Process. All communications with regards to the MR Process will be addressed to the PPU Director/delegate and copied to the Secretary to the System Board (SB). In addition, the Secretary to the SB will address any issues related to timelines should they arise during the preparation of the MR & intervene as needed.

4. Overview of the Management Response process

Guidelines on Management Engagement and Response: Process and Performance Evaluations in CGIAR (online [here](#), based on pre-read to SC19 <https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2-Additional-MER-Guidelines-Consultation-Version.pdf>) outlines the key process steps leading to Management Responses. Figure 1 presents an overview from this document.

As per the Terms of Reference, IAES is responsible for planning, initiating, and managing independent evaluation workflows, including the drafting of an evaluation Terms of Reference along the evaluation criteria and associated evaluation questions. In steps 1 through 6, the evaluand lead will develop Management Responses to Evaluations while the PPU will coordinate the overall development of the MR. PPU is then responsible for progress reporting on Management Response implementation (Step 7).

Figure 2. Management Response: Steps



Source: Diagram derived from information presented in *Management Engagement and Response: Process and Performance Evaluation in CGIAR (2023)*. Rome: CGIAR Independent Advisory and Evaluation Service (IAES), Evaluation Function. More information is provided in this document for each step.

*Processes vary slightly depending on whether the Management Response is an independent or largely independent evaluation.

A more detailed version of Figure 2 can be found in Annex 2

Table 1 below details the process, responsibilities and timeframes for the development of Management Responses which begins informally at the validation stage, when the evaluand lead has line of sight on draft recommendations, and formally begins with the Pre-final version of an Evaluation Report, and ends with PPU tracking and reporting on progress of the actions in the Management Response (Steps 1 – 7 as described in the Management Engagement and Response: Process and Performance Evaluations in CGIAR - (pre-read to SC19 https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2_Additional-MER-Guidelines-Consultation-Version.pdf)).

Table 1. Process, responsibilities and timeframes for developing a Management Response

#	Task	Action	Timeline/duration	Responsible	Accountable	Consulted	Informed
I	Pre-final Evaluation Report* is shared	Email Pre-Final* Evaluation Report and <i>recommended MR and Evaluation release timeline</i> to (1) Evaluand Lead (2) SIMEC	24 hours	IAES	IAES		<ul style="list-style-type: none"> Evaluand Lead PPU Director and Designate
II	Evaluand Lead communicates the MR Coordinator to PPU (<i>Step 1 from Fig. 2</i>)	Confirm Coordinator from Evaluand for MR	24 hours	Evaluand & EMD office	<ul style="list-style-type: none"> Evaluand Lead PPU 	EMD Office	<ul style="list-style-type: none"> Governance Team IAES Evaluation Lead and Designate
III	Draft MR prepared and report submitted to EMD office (<i>Steps 2 – 4 from Fig. 2</i>)	<ul style="list-style-type: none"> Allocate recommendations and sub-recommendations to responsible offices Collect inputs and draft MR 	3 - 6 weeks**	MR Coordinator	<ul style="list-style-type: none"> Evaluand Lead PPU 		<ul style="list-style-type: none"> Governance Team IAES
IV	Draft MR approved by EMD (<i>Step 5 from Fig. 2</i>)	EMD reviews, seeks clarification and approves MR	1 week	EMD & MR Coordinator	<ul style="list-style-type: none"> Evaluand Lead PPU 		<ul style="list-style-type: none"> Governance Team IAES
V	MR provided to SB along with the Evaluation Report (<i>Step 5 from Fig. 2</i>)	SB reviews Evaluation Report and MR and provides comments for SC <i>Move back to step IV if revisions to MR are requested from SB</i>	2 weeks	Governance team	<ul style="list-style-type: none"> Coordinator PPU 	Evaluand Lead	<ul style="list-style-type: none"> Governance Team IAES
VI	Evaluation Report and MR received by SIMEC (<i>Step 5 from Fig. 2</i>)	SIMEC acknowledges MR***	1 week	Governance team			<ul style="list-style-type: none"> Evaluand PPU IAES
VII	Transmit Evaluation Report + MR for SC to review and endorse. (<i>Step 5 from Fig. 2</i>)	SC Reviews and endorses Evaluation (Report + MR) taking into account input from the System Board & Evaluand management responses	14 days (2 weeks) before intersessional decision or SC meeting. Possibility of a drop in call (ideally 4 days after sharing the report) for SC members to seek clarifications as needed.	IAES & Governance team			<ul style="list-style-type: none"> Evaluand PPU EMD office
VIII	Evaluation Report + MR published. (<i>Step 6 from Fig. 2</i>)	Publish the report + MR	1 week	IAES	IAES	Evaluand Lead;	<ul style="list-style-type: none"> Governance Team PPU
IX	MR disseminated & implemented. (<i>Step 6 from Fig. 2</i>)			Evaluand Lead and designated CGIAR units/ departments	PPU enters MR into a tracking system for bi-annual tracking		<ul style="list-style-type: none"> EMD office Governance Team
X	Progress tracked & reported. (<i>Step 7 from Fig. 2</i>)	Track & Report on progress of actions in Annual Type 3 report	Bi-annual	PPU	Coordinator		<ul style="list-style-type: none"> EMD office Governance Team

*Pre-final report: This is the version of the report after fact checking by the evaluand, that is submitted to SIMEC for endorsement. After SIMEC endorsement, the Evaluation Report is considered final.

** Timing between 3 to 6 weeks to be determined at IAES-managed Evaluation validation stage (i.e., ~ 1 month prior to distribution of Pre-Final (penultimate) report. Aligned to MER Guidelines, a MEL or other designated representative engages with IAES throughout and coordinates MR development from the validation stage.

*** SIMEC is invited to endorse the Pre-Final Evaluation Report at step 1, in a process facilitated directly by IAES in coordination with the SIMEC Secretariat

5. Process for implementation tracking and reporting on Management Responses

Implementation tracking of Management Responses

Upon approval of a Management Response by CGIAR Management, the actions for each related recommendation are uploaded into the [Management Response tracking tool](#) where the following information is available:

- Evaluation title
- Recommendations
- Management Response actions
- Timeframe/deadline
- Implementation status

Updates on the progress of each of the actions related to a Management Response will be requested by PPU in **January and June of each year** from those assigned to lead on Management Response actions. Progress updates from January will contribute to the annual Type 3 report, while those from June will be used for internal progress tracking and will be presented in a report to Management.

Progress updates

A process to update action status is in use (currently via Excel) and will be streamlined in the future. This process requires that lead contributors provide an update on each of the Management Response actions they are leading on (see Annex 1 for details) with justifications & evidence.

Deadlines

Respondents will have a maximum of 3 weeks to respond, and reminders will be sent accordingly.

As responses are received:

- As updates are received, the information provided will be quality assured (ensuring documentation is provided to support status updates, confirming links are working etc.)
- Updates for each Management Response action will be transferred into the Management Response Tracker **master** file (Excel) by PPU.
- The online tracker will be updated with new information.

These updates are to be completed by mid-February and mid-July (approximately 3 weeks after the deadline for submissions).

6. Products

Tracking the preparation of Management Responses

The process of developing Management Responses is documented and monitored using an online platform (presently Monday.com) and provides stakeholders with a current and accurate overview of the status as well as forthcoming steps of the process.

Management Response tracking tool

The baseline year for the [Management Response tracking tool](#) developed by PPU is 2021, starting from the [2021 Synthesis of Learning from a Decade of CGIAR Research Programs](#). The tracker will be updated on a regular basis by the PPU and inputs sought every 6 months on Management Response actions from lead contributors following the timing set out in Section 4 above.

The Annual Type 3 report

The Type 3 report includes a section on the progress of implementation for Management Response actions, which includes:

- A summary of the Management Response Tracker status (table/chart)
 - Technical evaluations + their titles + completion year
 - Number of Management Responses tracked
 - Percentage breakdown of Management Response actions
 - Completed
 - On track
 - Not started
 - Delayed
 - Cancelled
 - Links to evidence (e.g. the evaluations, the Management Responses, evidence that actions have been taken)
- Text summarizing the table/chart, which covers:
 - An explanation of the numbers
 - A few highlights
- **Type 3 report timeline:**
 - PPU to complete inputs to the Type 3 report by 15 February
 - Management to review/clarify/approve the Type 3 report by 28 February
 - PPU to finalize the Type 3 report by end March

7. Related resources

CGIAR evaluation-related frameworks, policies and workplans:

- [CGIAR Evaluation Framework \(2022\)](#)
- [CGIAR Evaluation Policy \(2022\)](#)
- CGIAR Evaluation Guidelines - Management Engagement and Response: Process and Performance Evaluations in CGIAR final version to be available online [here](#); (approval pre-read to SC19 https://storage.googleapis.com/cgiarorg/2023/10/SC19-20b-Appendix2_Additional-MER-Guidelines-Consultation-Version.pdf)
- [CGIAR Advisory Services: 2022-24 Workplan, 2024 plan reconfirmed](#)
- [CGIAR Evaluation Guidelines - Evaluability Assessment 2022](#)
- CGIAR Evaluation Guidelines - [Applying the CGIAR Quality of Research for Development Framework to Process and Performance Evaluations](#)

Annex 1: Details requested for Management Response actions

The following provides an overview of information requested by lead contributors to Management Response actions in January and June each year.

For each of the Management Response actions you are leading on:

- Update Status – from the drop-down menu select **Not started, On Track, Completed, Delayed** or **Cancelled**.
- Provide the date of completion for completed actions (in the “Completion date” column).
- For **On Track** and **Completed** actions, verifiable evidence will need to be provided to substantiate completed status and where appropriate, this evidence will be integrated into the Annual Type 3 report.
- Provide justification for actions that are **Not started** or **Delayed**,
- A request to **Cancel** an action must be presented in writing to the Executive Managing Director (EMD) and approved ([cancellation request form](#); Annex 3). Cancelled MR actions will also be reported in the Annual Type 3 report.
- Provide additional details/comments/links to evidence as needed.

Definitions

Not started – no activities have started.

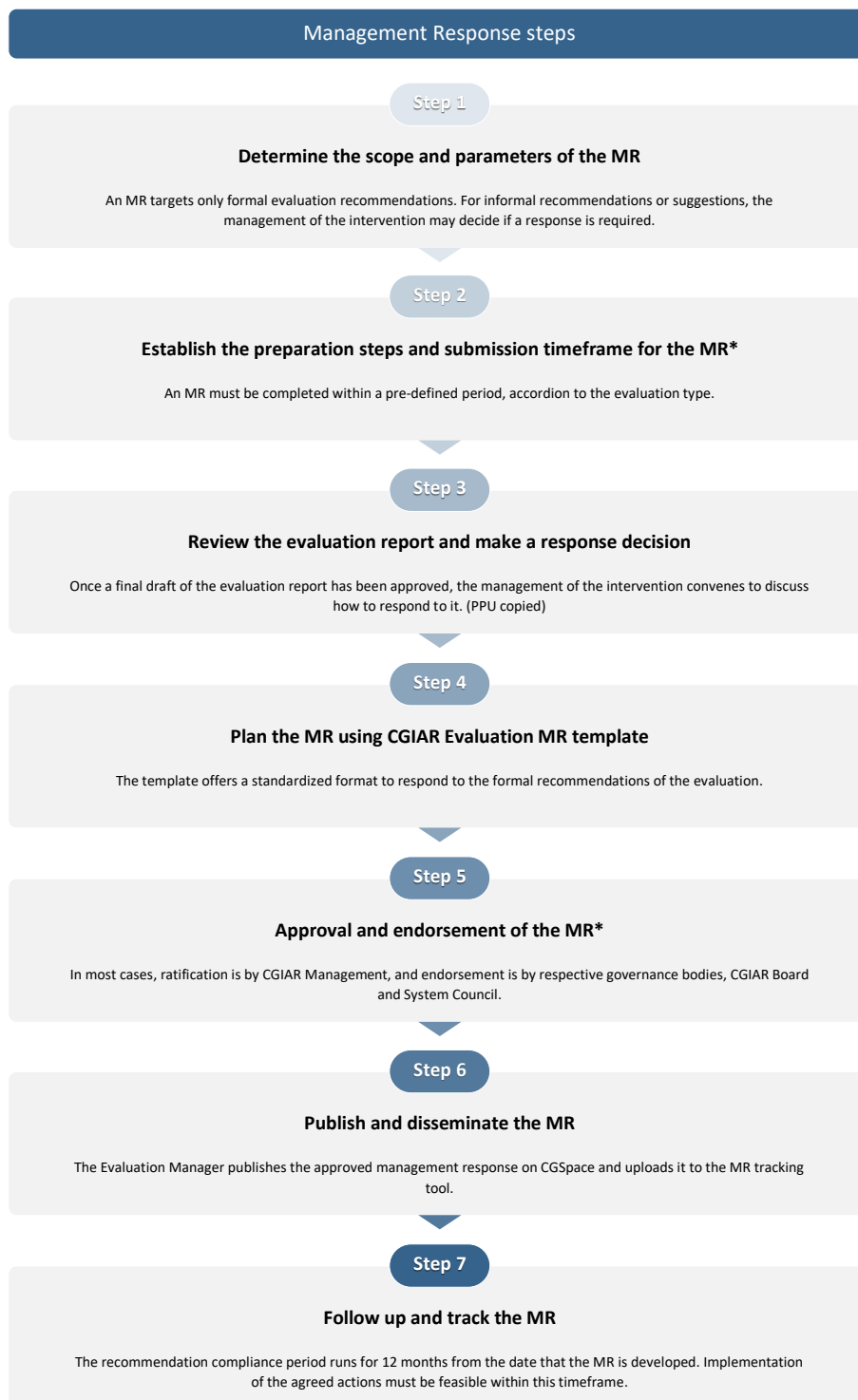
On Track – activities are underway, deadline has not been exceeded.

Completed – action has been successfully completed (supporting verifiable evidence is required).

Delayed – deadline for completion has been exceeded.

Cancelled – action has been cancelled after receiving approval from EMD.

Annex 2: Detailed version of Figure 2



Source: Diagram derived from information presented in *Management Engagement and Response: Process and Performance Evaluation in CGIAR (2023)*. Rome: CGIAR Independent Advisory and Evaluation Service (IAES), Evaluation Function. More information is provided in this document for each step.

*Processes vary slightly depending on whether the Management Response is an independent or largely independent evaluation.



Annex 3: Request for approval to cancel a Management Response Action

Use this form to seek EMD approval to cancel an agreed Management Response Action to an evaluation.

Evaluation Title	
Evaluation Date	
Recommendation No.	
Recommendation	
Management Response	
Management Response Action	
Management Response Due Date	
Justification for cancellation request	
Request Submitter Name	
Request Submission Date	
EMD Decision (<i>approve/reject cancellation request</i>)	
EMD Decision Date	
EMD Feedback	