Section 1 Introduction

This report forms part of CGIAR’s new Technical Reporting Arrangement and provides an ‘under the hood’ update on key aspects of Performance Management and Project Coordination progress for 2022. It relates specifically to the Pooled Funding portion of the CGIAR Portfolio.

The content of this first Type 3 Report is largely representative of the core aspects related to activating the Performance and Results Management Framework and the Technical Reporting Arrangement in 2022. It includes updates on:

- CGIAR implementation of Management Responses to evaluations, to demonstrate how CGIAR is learning and optimizing research management and delivery.
- Core aspects of Portfolio Performance Management related to activating the Performance and Results Management Framework and the CGIAR Technical Reporting Arrangement, notably:
  - Delivering a new Technical Reporting solution,
  - Baking in adaptive management to Initiative delivery, and
  - Implementation of Innovation Packages and Scaling Readiness.
- Core aspects of Project Coordination, notably:
  - Project Management Standards
  - Plan of Results and Budget

This Type 3 report is a core component of the overall 2022 Technical Report which includes:

- Type 1 Initiative and Impact Area Platform reports, with quality assured results reported by Initiatives and Platforms available on the CGIAR Results Dashboard. Type 1 reports provide assurance on Initiative-level progress towards end-of-Initiative outcomes and Impact Area Platform progress against defined objectives.
- The Portfolio Narrative, which draws on the Type 1 and Type 3 reports, and the CGIAR Results Dashboard, to provide a broader view on portfolio coherence, including results, partnerships, country and regional engagement, and synergies among the portfolio’s constituent parts.

Front cover: Drought Tolerant Maize for Africa (DTMA) project monitoring and evaluation takes place in Tanzania. Credit: Florence Sipalla/CIMMYT

Commodities at Dintor weekly market. 
Credit: CGIAR System Organization
## Section 2 Implementation status: Management Responses to CGIAR evaluations

The table below provides information on the four evaluations that were completed between 2021 and 2022 (also available on the Management Response Tracker):

<table>
<thead>
<tr>
<th>EVALUATION TITLE</th>
<th>DATE COMPLETED</th>
<th>DATE OF MANAGEMENT RESPONSE</th>
<th>NO. OF RECOMM.*</th>
<th>MAX. COMPLETION DATE FOR ACTIONS</th>
<th>LINKS TO EVALUATION REPORTS AND MANAGEMENT RESPONSES</th>
</tr>
</thead>
</table>
| 2021 Synthesis of Learning from a Decade of CGIAR Research Programs             | June 2021      | June 2022                    | 41              | 2024                            | • Synthesis of Learning  
• Management Response |
| Evaluation of CGIAR Platform for Big Data in Agriculture                        | December 2021  | February 2022                | 43              | 2030                            | • Evaluation Report  
• Management Response |
| Evaluation of CGIAR Excellence in Breeding Platform                             | April 2022     | May 2022                     | 47              | 2024                            | • Evaluation Report  
• Management Response |
| Study of the PRMS Project Management Approaches and Fit-for-Purpose Information Products | December 2022  | 9 December 2022              | 36              | 2024                            | • Links forthcoming |

*Total number of recommendations includes main and sub-recommendations.
Out of the 108 actions that are in progress, 12 actions (11%) are delayed.

Updates were provided for the 131 actions committed to in the Management Responses for the four evaluations. The following is a summary of the action status:

- **Total recommendations by evaluation**
  - Big Data Total: 43
  - EiB Total: 47
  - PRMS Total: 36
  - CRP Synthesis Total: 41

- **Management Response implementation status**
  - 108 (82%)
  - 14 (11%)
  - 8 (6%)
  - 1 (1%)

*Out of the 108 actions that are in progress, 12 actions (11%) are delayed.*
Section 3 Portfolio Performance progress

3.1 Delivering a new Technical Reporting solution

In Q2 2022, CGIAR’s new Technical Reporting Arrangement was co-developed with members of the System Council’s Strategic Impact Monitoring and Evaluation Committee (SIMEC). It describes the content, timing, format, standards and scope of Technical Reporting applicable to all CGIAR Initiatives. The Technical Reporting Arrangement splits Technical Reporting into three categories:

1. **Type 1**: Annual Initiative and Impact Area Platform reporting on progress towards end-of-Initiative outcomes.
2. **Type 2**: Three-year Portfolio-level reporting on contribution to Action Area outcomes and Impact Area targets (the first year for this category of reporting will be 2024).
3. **Type 3**: Annual internal Performance Management and Project Coordination Practice Change report (this report).

In rolling out the new Technical Reporting Arrangement, CGIAR billed the 2022 version as the ‘first pancake’ – essentially a trial run that serves to prepare the ground for subsequent improved versions. For each key component of Technical Reporting, CGIAR aimed to achieve minimum viable functionality in 2022, with improvement and functionality growth planned annually from 2023 onwards.

The 2022 version of the Type 1 Annual Initiative and Impact Area Platform report on progress towards end-of-Initiative Outcomes aimed to include the following core components:

1. **Use of a common template**: All Initiatives and Impact Area Platforms will use a common template aligned to the content in the Technical Reporting Arrangement (note that the Impact Area Platform template is derived from the Initiative template and adapted to suit their needs).
   a. **Status**: This objective has largely been achieved, with all Initiatives using the same template, and the Impact Area Platforms using a standard template derived from the Initiative version.

2. **Use of a common Results Framework**: 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. Common results and indicator categories within output and outcome levels allow aggregation of core impact pathway metrics across Initiatives and Impact Area Platforms. All Initiatives and Impact Area Platforms will report against the common framework.
   a. **Status**: This objective has largely been achieved, with all Initiatives and Impact Area Platforms reporting results against the CGIAR Results Framework.

3. **Results linked to the Theory of Change**: Initiative results will be digitally linked to their nested Initiative and Work Package Theories of Change.
   a. **Status**: This objective has largely been achieved with online Initiative Theories of Change linked to reported results.
4. **Quality assurance of reported results data:** Reported data will be screened against defined criteria and adjusted as necessary to ensure every reported result meets quality criteria. In case of significant disagreement between the reporting Initiative and the Quality Assurance Team, a senior third party will provide a ‘tie-breaker’ function.

   a. **Status:** This objective has largely been achieved with key data points undergoing quality assurance, mediated through a third-party tie-breaker.

5. **Access to reported results through an interactive dashboard:** A new results dashboard will provide easy and customizable access to CGIAR results.

   a. **Status:** This objective has been achieved and the new Results Dashboard is available [here](#).

6. **Baking in adaptive management:** All Initiatives and Impact Area Platforms will include a ‘Reflect’ adaptive management process to inform their 2023 Plan of Results and Budget.

   a. **Status:** This objective has largely been achieved.

7. **Rollout of Innovation Packages and Scaling Readiness:** All Initiatives will start implementing their Innovation Packages and Scaling Readiness plans.

   a. **Status:** This objective has been achieved.

8. **A new Performance and Results Management System (PRMS):** A new PRMS will house relevant Initiative and Impact Area Platform information including Theories of Change, Plans of Results and Budget, and reported results.

   a. **Status:** This objective has largely been achieved.
3.2 Report/Reflect/Replan rollout: Enabling adaptive management

Previously, CGIAR Research Program (CRP) leaders found it challenging to adjust financial and staff plans in light of experience gained from the previous year. This difficulty arose due to the misalignment of reporting and planning processes, as well as the convoluted process of adjusting budgets based on lessons learned.

The Reflect component, an integral part of the Report-Reflect-Replan annual adaptive management cycle, was introduced for CGIAR Initiatives in 2022. This new component addresses the challenges faced by CRP leaders by providing a streamlined process for reporting, reflection, and re-planning within the new Technical Reporting Arrangement.

Primary purpose and benefits:
• The Reflect component allows Initiatives and Science Managing Directors (SMDs) to adapt their plans based on lessons learned, thereby enhancing their contributions to impact.
• It demonstrates to funders, partners, and stakeholders that Initiatives are using experience to update plans.
• The Reflect component offers SMDs an opportunity to review and approve key recommendations for change, contributing to portfolio coherence.
• It allows other stakeholders and partners to engage with Initiative teams as they consider lessons and recommendations.

The Reflect process was designed to be lean, flexible, and adaptable to the varying capacities, budgets, and circumstances of different Initiatives. Initiative teams can choose their reflection methods, timing, and resource allocation, resulting in a one-page write-up for inclusion in their annual report (Section 7 – Adaptive Management). To support this process, on-demand support has been provided to Initiative teams and peer-to-peer sharing of practices and approaches has been encouraged. Results of the Reflect process will be captured in the Re-Plan phase, which is consistent with the enhanced planning process presented in Section 4 of this report.

Progress to date:
Reflect guidance was tested and agreed upon before its launch in November 2022. Reflect activities have been conducted since December 2022, with varying timelines based on individual Initiative needs. All active Initiatives have incorporated Reflect elements into their implementation activities, often aligning them with reporting, learning, planning with partners, or launch events. A Reflect peer-to-peer community was established for periodic check-ins and to share experiences, which proved valuable in identifying and prioritizing necessary adjustments. The most critical adjustments were formalized in the Type 1 Annual Initiative Reports.

Early feedback has been very positive, and an after-action review is planned for mid-April to assess Reflect’s success and identify areas for further development and improvement. The findings will inform the refinement of guidance and processes for the second Reflect cycle in 2023/24.

The Reflect component is a crucial development in enhancing CGIAR’s adaptive management and ensuring the continuous improvement of Initiatives. With its lean and flexible design, the Reflect component promises to address previous challenges and allow for better decision-making in the years to come.
3.3 Implementation of Innovation Packages and Scaling Readiness

Innovation Packages and Scaling Readiness (IPSR) forms a key component of the new CGIAR Performance and Results Management System. IPSR is how CGIAR uses the Scaling Readiness approach to: (i) track innovation development, (ii) support innovation packaging and scaling readiness assessment, (ii) co-design scaling strategies with partners, and ultimately, (iv) empower CGIAR innovation portfolio management.

The 2022 objective was that IPSR information would support decision-making for innovation developers, Initiatives teams, portfolio managers and/or funders. Key results and achievements are as follows:

<table>
<thead>
<tr>
<th>KEY RESULTS/AMBITION</th>
<th>2022 ACHIEVEMENTS</th>
<th>DESCRIPTION/ADDITIONAL INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early-adopter Initiatives have profiled 90%&gt; of their innovations</td>
<td>477 innovations were reported in the PRMS and quality assured against key IPSR metadata and metrics as part of 2022 Initiative reporting</td>
<td>All 477 innovations feature in the CGIAR Results Dashboard and on-demand Innovation Profiles were developed and published in CGSpace</td>
</tr>
<tr>
<td>50% of other Initiatives have profiled at least five innovations</td>
<td>Three Innovation Packages were designed and assessed for their Scaling Readiness in an evidence-based way</td>
<td>Innovation Package and Scaling Readiness reports were published in CGSpace</td>
</tr>
<tr>
<td>At least 10 Innovation Packages have been designed and assessed for their Scaling Readiness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Early-stage piloting of Initiative-level portfolio innovation management with two early-adopter initiatives</td>
<td>One innovation portfolio management pilot with the CGIAR Initiative on Diversification in East and Southern Africa was conducted based on 20 innovations profiled</td>
<td>An Innovation Portfolio Management report was published in CGSpace and presented to Initiative leadership</td>
</tr>
</tbody>
</table>

IPSR-powered Innovation Portfolio Management report developed for the CGIAR Research Initiative on Diversification in East and Southern Africa. Available here.
Other noteworthy 2022 achievements include:

- The original Scaling Readiness approach was redesigned to meet the minimum viable CGIAR requirements. Profiling innovations now takes less than 60 minutes, and the more complex innovation package process requires a one-day workshop, while still assuring quality data.
- Initiatives had indicated in their proposals that they would profile 250 innovations during the 2022-24 cycle. With the 476 innovations reported in 2022 alone, this target has already been exceeded.
- More than 1,600 colleagues from CGIAR and beyond enrolled in an online course on innovation and scaling developed in English, French and Spanish.
- Over 25 IPSR webinars, online meetings and in-person sessions were organized in 2022 to introduce the IPSR approach to CGIAR Initiative teams and the broader CGIAR community.

IPSR-powered Innovation Portfolio analytics comparing the Innovation Readiness of Regional Integrated Initiatives (RIIs) to the Global Science Initiatives (GSIs). This allows CGIAR to tell the story of how RIIs focus more on innovation adaptation, validation and scaling (medium/high readiness levels), whilst GSIs focus more on innovation ideation, formulation and testing (lower/medium readiness levels).

- The IPSR team co-organized the ‘CGIAR week of science and practice of scaling agrifood systems innovation’ with the GIZ taskforce on scaling team in Nairobi in November 2022, bringing together CGIAR’s and GIZ’s scaling communities for networking and learning.
- Initial interest in IPSR was expressed by other CGIAR funders and partner organizations, including the Bill and Melinda Gates Foundation and the World Bank.
- Increased awareness and use of IPSR in the CGIAR system, with Initiative teams appointing dedicated scaling experts and consultants, the Senior Leadership Team emphasizing the importance and potential of IPSR, and CGIAR investment in capacity to mainstream IPSR.
1. **CGIAR Project Lifecycle framework establishment**: Recognizing that proper alignment between Management Standards and the Project Lifecycle is essential for timely process execution and successful results delivery, a basic project lifecycle for CGIAR Initiatives and Programs (see figure below) was developed to align with CGIAR Initiatives. A set of Minimum Standards was developed, prioritizing phases 4 and 5.

2. **Enhanced planning process**: A standardized Plan of Results and Budget (PORB) was developed and used by all Initiatives in 2022 which requires planning at the result level, rather than at the activity level. This shift in focus allows effective implementation of the Technical Reporting Arrangement elements on monitoring and reporting, enhancing the overall consistency of the CGIAR Portfolio.

The Initiative PORBs detail their planned results against a timeline, based on each Initiative’s Theories of Change. The planned results are disaggregated by Work Package and implementing Center, and connected with annual budgets, providing an estimate of the resources allocated to achieving the results planned for the year. This approach ensures that resources are aligned to results delivery.

Guidance materials and support were provided to Initiatives and quality checks were conducted to ensure consistency in PORB template use. The PORBs now form a core component of the Decision Letters accompanying fund allocation.

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**CGIAR Project Lifecycle**

1. Project Identification
2. Project Development
3. Agreement Set Up
4. Project Start-Up & Planning
5. Delivery MEL & Reporting
6. Project Close-out & Impact Assessment

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*We would like to thank all funders who supported this work through their contributions to the CGIAR Trust Fund.*