MOPAN
Multilateral Organisation Performance Assessment Network

MOPAN
2019 ASSESSMENTS

CGIAR

Published May 2020

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MOPAN Assessments

CGIAR

2019 Performance Assessment

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Multilateral Organisation Performance Assessment Network

Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 19 countries[1] that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014. In 2019, MOPAN members agreed to a change in the rating scale, with the overall framework unchanged. To distinguish the new approach from the initial one, the methodology applied in 2019 is called MOPAN 3.0* (see Chapter 1, Introduction to this assessment).

In 2019, MOPAN assessed five organisations, including CGIAR. The other four organisations are*:*

● Multilateral Fund for the Implementation of the Montreal Protocol (MLF)
● United Nations Conference on Trade and Development (UNCTAD)
● United Nations Industrial Development Organisation (UNIDO)
● United Nations Office for Drugs and Crime (UNODC).

Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document

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1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Arab Emirates, the United Kingdom and the United States.

review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

Acknowledgements

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Boxes and figures

Acronyms and abbreviations

A4NH	CGIAR Research Program on Agriculture for Nutrition and Health
CAPRi	CGIAR Systemwide Program on Collective Action and Property Rights
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
CD	Capacity development
CIAT	International Center for Tropical Agriculture
CIFOR	Center for International Forestry Research
CIMMYT	International Maize and Wheat Improvement Center
CIP	International Potato Center
CoP	Community of Practice
CRP	CGIAR Research Program and Platform
FAO	Food and Agriculture Organization
FTA	CGIAR Research Program on Forests, Trees and Agroforestry
IATI	International Aid Transparency Initiative
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IDO	Intermediate Development Outcome
IEA	Independent Evaluation Arrangement
IFAD	International Fund for Agriculture and Development
IFPRI	International Food Policy Research Institute
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IRRI	International Rice Research Institute
ISDC	Independent Science for Development Council

ISPC	Independent Sciences and Partnership Council
IWMI	International Water Management Institute
KPI	Key performance indicator
MEL	Monitoring, evaluation and learning
MI	Micro-indicator
MIS	Management Information System
NARS	National Agricultural Research Systems
POWB	Plan of Work and Budget
PIM	CGIAR Research Program on Policies, Institutions, and Markets
QA	Quality assurance
RBM	Results-based management
RTB	CGIAR Research Program on Roots, Tubers and Bananas
SDG	Sustainable Development Goal
SEAH	Sexual exploitation and abuse, and sexual harassment
SES	Staff Evaluation System
SIAC	CGIAR Strengthening Impact Assessment Program
SIMEC	Strategic Impact, Monitoring and Evaluation Committee
SLO	System Level Outcome
SPIA	Standing Panel on Impact Assessment
SRF	Strategy and Results Framework
ToCs	Theories of Change
ToR	Terms of Reference
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
WFP	World Food Programme
WLE	CGIAR Research Program on Water, Land and Ecosystems
W1/W2/W3 funds	Window 1, Window 2, and Window 3 funds

Executive summary

In 2019, the Multilateral Organisation Performance Assessment Network (MOPAN) assessed the performance of CGIAR (formerly known as the Consultative Group for International Agricultural Research).

The assessment looked at CGIAR's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieved against its objectives. This was the first MOPAN assessment of CGIAR.

CONTEXT

CGIAR was originally established as a global research partnership in 1971. It is a worldwide network of 15 Research Centers, each independent and autonomous, guided by the policies and research directions set by the System Management Board and approved by the System Council. CGIAR works to advance agricultural science and innovation to enable poor people, especially women, to better nourish their families. It also helps them improve productivity and resilience, so they can share in economic growth and manage natural resources in the face of climate change and other challenges.

In April 2010, the CGIAR Consortium of International Agricultural Research Centers (CGIAR Consortium) was established as a joint venture between the Research Centers. In 2012, the CGIAR Consortium obtained international organisation status. Further reforms took place in 2016, when the Research Centers and Funders agreed to a CGIAR System Framework that provides for a System Council and a CGIAR System Organisation. CGIAR created the Strategy and Results Framework 2016-2030 providing strategic direction and aligning with the 2030 Agenda for Sustainable Development. At the end of 2018, the CGIAR System approved its first three-year business plan, for 2019-21, setting out an ambitious vision of continued reform.

KEY FINDINGS

CGIAR has shown a clear understanding of future needs and demands for agricultural science and innovation, laid out in the Strategy and Results Framework (SRF) and in the CGIAR Research Programs and Platforms (CRPs). The changes in CGIAR, with the formation of the CGIAR System, and with the ongoing reform process outlined in the first of a cycle of four business plans, provide a solid and agreed foundation for ensuring that what is described as the global research partnership is fit to deliver against the SRF.

In doing this, CGIAR faces the challenge of taking all parts of the partnership forward together, in what is an ambitious continued reform process. Some tensions already exist in different views on the need for further, more radical reforms, for example on the governance model, on the need for a rationalisation of the current Research Centers, on different designs for programmes and on longer-term, flexible and more consistent financial resources. The immediate challenge for CGIAR is in delivering and stabilising the current round of reform in a timely and effective manner.

The CGIAR global research partnership provides a unique international resource for the interface between research and innovation. At its best, CGIAR is capable of utilising this resource to great effect. However, CGIAR is a research system partnership, consisting of independent and autonomous Research Centers and a System Organisation, as well as its governance entities. Given its highly devolved organisational architecture, inconsistencies in capacities and progress arise across CGIAR, and the process of change can be slow.

There are variations in the sizes and capacities of these Research Centers, variations in the ways in which CGIAR's systems and mechanisms have developed, and variations in their effective use. There is also a risk of a negative cycle: on the one hand, CGIAR needs constant reform in order to build trust in its continued effectiveness for the Funders, while on the other, it needs longer-term and more consistent funding support in order to carry out the necessary reforms.

Parts of the CGIAR research partnership have been able to operate extremely effectively, while others, as suggested above, have not been able to respond as well. The CGIAR System Management Office has supported the development of these effective approaches and has worked with the partners in the system to map out a path towards greater effectiveness.

There are significant inconsistencies in the capacities and in the ability to change across CGIAR. This is in part due to differences in capacities and resources in Research Centers. But it is also due to variations in the capacities and resources brought to bear in the CGIAR System Organisation, in areas such as human and financial resource management, accountability and audit, and monitoring, reporting and evaluation.

CGIAR produced its first Annual Performance Report in 2018 (based on 2017 data) and a set of high quality independent, external evaluations between 2015 and 2017, which highlight evidence of impact and a wide range of areas where progress is being made. CGIAR has taken great efforts to ensure that the reporting of impact is based on strong, validated evidence; however, these efforts resulted in delays to the publication of the Annual Performance Report 2018.

This is an example of where CGIAR has been playing catch-up in terms both of having the performance systems in place to be able to assess progress and of providing solid evidence for the difference that is being made. Work is underway on the performance systems and is progressing. There were, however, concerns expressed about the current changes to the evaluation function, as the previous Independent Evaluation Arrangement has been replaced with an, as yet untested, evaluation workstream as part of the Advisory Services Shared Secretariat.

The assessment identifies six **strengths** of CGIAR**:**

1. The diversity and flexibility of the CGIAR System enables it to respond effectively to donor priorities, rapidly changing contexts and emerging development challenges.

2. The Strategy and Results Framework, business plan and financial plan have buy-in and provide stability, offering the potential to bring processes and systems together across CGIAR.

3. The leadership in CGIAR's System Management Office and the instruments and systems that have been put in place reflect a shift towards professionalisation and provide the basis for a more transparent and responsive decision-making culture.

4. The performance and results process and systems, because they have been built up and tailored to varying needs across CGIAR enjoy both buy-in and acceptance, have been used as designed across the system for the first year of reporting and have delivered a strong performance product.

5. The CRPs have proved to be a strong concept, both the programmes and platforms, and provide the basis for significant coverage and delivery from a results perspective.

6. CGIAR's open intellectual assets and genetic material are a significant global resource, although there is a question of whether the System is making enough of it.

The assessment also finds seven **areas for improvement:**

1. The diversity and flexibility of the CGIAR System is also a weakness, making decision-making and institutional change processes slow and difficult to achieve.

2. CGIAR's complex governance and organisational architecture compound the weaknesses of the System, making even gradual or small-scale change unwieldy and costly to manage, and the pace of change uncertain.

3. CGIAR and its Funders have yet to develop a consensus on how the System, the reforms envisaged and the CRPs should best be supported. Particular issues exist around necessary financial support to align vision and operational realities.

4. There is a lack of consistency in focus and capacities across the CGIAR System and the Research Centers with regard to key capacities and services, such as human and financial resource management, accountability and audit, and monitoring, reporting and evaluation, with the noted difficulties in agreeing and implementing common standards and improvement processes.

5. The reformed evaluation function poses a risk to the effective implementation of both corporate and decentralised evaluations to promote performance improvement. It potentially reduces structural independence and limits the ability to provide leadership across the system to support effective decentralised evaluations to inform evidence-based design of interventions.

6. CGIAR's lack of a strategic position on partnerships and capacities means that approaches used are either narrowly focused or ad hoc, often preventing or limiting the spread of innovative approaches.

7. CGIAR's efforts on gender equality and women's empowerment represent isolated pockets of good practice, meaning that CGIAR may be mainstreaming a superficial "gender fix". This risk needs to be actively managed in the current System-wide efforts to integrate an evidence-informed gender analytical lens across CGIAR's research and workplaces.

METHODS OF ANALYSIS

The MOPAN 3.0* methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. The methodology, including recent updates and any adaptations for this particular assessment, is further explained in Section 1.3 of this report.

The assessment covers the CGIAR System, including the System Organisation and the Research Centers. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2016 to mid-2019. The assessment approach was modified to cover all aspects of CGIAR, covering the CGIAR System level and a sample of seven CRPs and their lead Research Centers. The assessment relies on three lines of evidence: a review of 105 documents, interviews with 50 individuals and groups carried out in June and July 2019, and 162 responses to the online survey carried out among partners of the 15 Research Centers between mid-July and mid-September 2019.

MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. Norway and the United States of America acted as institutional lead countries, representing MOPAN members in this assessment process.

PERFORMANCE RATING SUMMARY FOR CGIAR
(MOPAN 3.0 – old rating scale system)

Performance management

Strategic management

8.5 Poor performance tracked
8.4 Evidence-based design
8.6 Follow-up systems
8.3 Evaluation quality
8.2 Evaluation coverage
8.7 Uptake of lessons
8.1 Evaluation function
1.1 Long-term vision
7.5 Performance data applied
1.2 Organisational architecture
7.4 Effective monitoring systems
1.3 Support normative frameworks
7.3 Evidence-based targets
1.4 Financial frameworks
7.2 RBM in strategies
2.1a Gender
7.1 RBM applied
2.1b Environment
6.9 Knowledge
2.1c Good governance
6.8 Joint assessments
2.1d Human rights
6.7 Accountability to beneficiaries
3.1 Resources aligned to function
6.6 Information sharing
3.2 Resource mobilisation
6.5 Partner co-ordination
3.3 Decentralised decision making
6.4 Synergies
3.4 Performance-based human resources
6.3 Use country systems
4.1 Decision making
6.2 Comparative advantage
4.2 Disbursement
6.1 Agility
4.3 Results-based budgeting
5.7 Implementation speed
4.4 International audit standards
5.6 Sustainability
4.5 Control mechanisms
5.5 Cross-cutting
4.6 Anti-fraud procedures
5.4 Risk management
5.1 Alignment
5.3 Capacity analysis
5.2 Context analysis

8. Evidence-based planning and programming applied
1. Organisational architecture and financial framework
7. Strong and transparent results focus, explicitly geared to function
2. Cross-cutting issues
ORGANISATIONAL PERFORMANCE
3. Operating model and resources support, relevance and agility
6. Works in coherent partnerships
4. Cost and value consciousness, financial transparency
5. Operational planning and intervention design support, relevance and agility

Relationship management

Operational management

Changes to MOPAN rating system (MOPAN 3.0* scales)

The 2019 Assessment Cycle under MOPAN 3.0* includes a notable change on how ratings (and their corresponding colours) are applied based on the scores at MI and KPI level. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected. Further information can be found in Chapter 1, Section 1.4 Methodology changes in the 2019 Cycle.

12.3 Enabling environment
9.1 Results attained
12.2 Sustainable capacity
9.2 Benefit target group
9.3 Impact
9.4 Gender
9.5 Environment
12.1 Sustainable benefits
9.6 Governance
9.7 Human rights
10.1 Target groups
12. Sustainability
9. Achievement of results
RESULTS
11. Efficient delivery
10. Relevance to partners
11.2 Timeliness
10.2 National objectives
11.1 Cost efficiency
10.3 Coherence

How to read these charts

Micro-indicator

1.1 1.2 1.3 1.4 1.5 1.6 1.7

1

Key Performance Indicator

Highly satisfactory
(3.01-4.00)

Satisfactory
(2.01-3.00)

Unsatisfactory
(1.01-2.00)

Highly unsatisfactory
(0-1.00)

No evidence / Not applicable

PERFORMANCE RATING SUMMARY FOR CGIAR (MOPAN 3.0* – new rating scale system)

Performance management

Strategic management

Operational management

Relationship management

ORGANISATIONAL PERFORMANCE

1. Organisational architecture and financial framework
   - 1.1 Long-term vision
   - 1.2 Organisational architecture
   - 1.3 Support normative frameworks
   - 1.4 Financial frameworks

2. Cross-cutting issues
   - 2.1a Gender
   - 2.1b Environment
   - 2.1c Good governance
   - 2.1d Human rights

3. Operating model and resources support, relevance and agility
   - 3.1 Resources aligned to function
   - 3.2 Resource mobilisation
   - 3.3 Decentralised decision making
   - 3.4 Performance-based human resources

4. Cost and value consciousness, financial transparency
   - 4.1 Decision making
   - 4.2 Disbursement
   - 4.3 Results-based budgeting
   - 4.4 International audit standards
   - 4.5 Control mechanisms
   - 4.6 Anti-fraud procedures

5. Operational planning and intervention design support, relevance and agility
   - 5.1 Alignment
   - 5.2 Context analysis
   - 5.3 Capacity analysis
   - 5.4 Risk management
   - 5.5 Cross cutting
   - 5.6 Sustainability
   - 5.7 Implementation speed

6. Works in coherent partnerships
   - 6.1 Agility
   - 6.2 Comparative advantage
   - 6.3 Use country systems
   - 6.4 Synergies
   - 6.5 Partner co-ordination
   - 6.6 Information sharing
   - 6.7 Accountability to beneficiaries
   - 6.8 Joint assessments
   - 6.9 Knowledge

7. Strong and transparent results focus, explicitly geared to function
   - 7.1 RBM applied
   - 7.2 RBM in strategies
   - 7.3 Evidence-based targets
   - 7.4 Effective monitoring systems
   - 7.5 Performance data applied

8. Evidence-based planning and programming applied
   - 8.1 Evaluation function
   - 8.2 Evaluation coverage
   - 8.3 Evaluation quality
   - 8.4 Evidence-based design
   - 8.5 Poor performance tracked
   - 8.6 Follow-up systems
   - 8.7 Uptake of lessons

How to read these charts

Micro-indicator

1.1 1.2 1.3 1.4 1.5 1.6 1.7

1

Key Performance Indicator

- **Highly satisfactory** (3.51-4.00)
- **Satisfactory** (2.51-3.50)
- **Unsatisfactory** (1.51-2.50)
- **Highly unsatisfactory** (0-1.50)
- **No evidence / Not applicable**

RESULTS

9. Achievement of results
   - 9.1 Results attained
   - 9.2 Benefit target group
   - 9.3 Impact
   - 9.4 Gender
   - 9.5 Environment
   - 9.6 Governance
   - 9.7 Human rights

10. Relevance to partners
    - 10.1 Target groups
    - 10.2 National objectives
    - 10.3 Coherence

11. Efficient delivery
    - 11.1 Cost efficiency
    - 11.2 Timeliness

12. Sustainability
    - 12.1 Sustainable benefits
    - 12.2 Sustainable capacity
    - 12.3 Enabling environment

1. INTRODUCTION

Chapter 1. Introduction

1.1. STRUCTURE OF THE REPORT

This report has three chapters and three annexes. Chapter 1 introduces CGIAR and the assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

1.2. CGIAR AT A GLANCE

Mission and mandate: CGIAR was originally established as a global research partnership in 1971.[2] It is a global network of 15 Research Centers, each independent and autonomous, guided by the policies and research directions set by the System Management Board and approved by the System Council.

CGIAR science is dedicated to reducing poverty, enhancing food and nutrition security, and improving natural resources and ecosystem services. CGIAR works to advance agricultural science and innovation to enable poor people, especially women, to better nourish their families. It also helps them improve productivity and resilience, so they can share in economic growth and manage natural resources in the face of climate change and other challenges.[3]

In April 2010, the CGIAR Consortium of International Agricultural Research Centers (CGIAR Consortium) was established as a joint venture between the Research Centers. On 20 July 2012, the CGIAR Consortium obtained international organisation status pursuant to the agreement establishing it as an international organisation and operating in accordance with the rules set forth in its constitution.

In 2016, the Research Centers and Funders agreed to a CGIAR System Framework that provides for a System Council and a CGIAR System Organisation. The CGIAR System Organisation was set up in 2016 in accordance with the Charter of the CGIAR System Organisation, which replaced the constitution of the CGIAR Consortium.

Governance: The CGIAR System Council (comprising representatives of the Funders and developing countries) and the System Management Board (comprising representatives elected by the Research Centers, including Center directors general and members of Center Boards of Trustees, as well as other independent voting and non-voting members) work in partnership to review the effectiveness of the CGIAR System, to adopt and monitor compliance with CGIAR policies, procedures and guidelines, and to review the relevance and results of CGIAR Portfolio of agricultural research for development. The System Management Board also provides oversight to the System Organisation.

The General Assembly of the Research Centers is a forum for CGIAR Research Centers to discuss issues relevant to Research Centers, including those related to the CGIAR System and the CGIAR System Organisation – consisting of directors general, and Center Board chairs, it is an important linking mechanism for the CGIAR System as a whole.

CGIAR's Partnership Forum, an innovation introduced in 2016, brings together the diverse group of stakeholders that actively support the CGIAR System to express their views on its operations.

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2. Originally established as the Consultative Group on International Agricultural Research in 1971, it was renamed as CGIAR in 2012.

3. See Strategy on CGIAR's website: https://www.cgiar.org/how-we-work/strategy/.

Organisational structure: The CGIAR System refers to the Research Centers, the Funders, the System Council, the System Board, the CGIAR System Organisation, the Independent Science for Development Council, the Standing Panel on Impact Assessment, the CGIAR System Internal Audit Function, and CGIAR Research.

The Research Centers are independent and autonomous organisations with their own governance structures. They are: AfricaRice, Bioversity International, Center for International Forestry Research (CIFOR), International Center for Agricultural Research in the Dry Areas (ICARDA), International Center for Tropical Agriculture (CIAT), International Crops Research Institute for the Semi-Arid Tropics (ICRISAT), International Food Policy Research Institute (IFPRI), International Institute of Tropical Agriculture (IITA), International Livestock Research Institute (ILRI), International Maize and Wheat Improvement Center (CIMMYT), International Potato Center (CIP), International Rice Research Institute (IRRI), International Water Management Institute (IWMI), World Agroforestry Center (ICRAF) and WorldFish.

The CGIAR System Organisation is governed by the System Management Board, while the System Management Office is responsible for the day to day operations and facilitates cooperation across the CGIAR System[4] to support the fulfilment of the CGIAR mission and goals. The governing document of the CGIAR System Organisation is the Charter and the structure was set out in the CGIAR System Framework, as approved in 2016.

As set out in the Charter, the Funders provide guidance and financial resources for CGIAR Research and for agreed operations of the System Organisation. Representatives of Funders and developing countries meet as a System Council to keep under review the strategy, mission, impact and continued relevancy of the CGIAR System in a rapidly changing landscape of agricultural research for development.

The System Council, Research Centers and Funders are provided with independent assurance by three bodies:

● Independent Science for Development Council, an independent advisory body supported by the Shared Services Secretariat
● Standing Panel on Impact Assessment, again an independent advisory body supported by the Shared Services Secretariat
● CGIAR System Internal Audit Function, which provides advisory services to the System Council and the CGIAR System Management Board.

The first two independent bodies are supported by an Advisory Services Shared Secretariat, which also houses the corporate evaluation function.

Strategy: CGIAR's Strategy and Results Framework (SRF) for 2016-30 provides the strategic direction to deliver on its mission. It has three goals, known as System Level Outcomes:

● reduce poverty
● improve food and nutrition security
● improve natural resources and ecosystem services.

The SRF sets out the following targets for 2030 for the action of CGIAR and its partners:

● 150 million fewer hungry people
● 100 million fewer poor people – at least 50% women
● 190 million hectares less degraded land.

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4. The CGIAR System refers to the Research Centers, the Funders, the System Council, the System Board, the CGIAR System Organisation, the Independent Science for Development Council, the Standing Panel on Impact Assessment, the CGIAR System Internal Audit Function,and CGIAR Research.

CGIAR aims to achieve these through a set of ten Intermediate Development Outcomes. Based on these targets and in line with CGIAR's comparative advantage, eight research priorities have been identified and set out in the SRF:

- Genetic improvement of crops, livestock, fish and trees, to increase productivity, resilience to stress, nutritional value, and efficiency of resource use.
- Agricultural systems: adopt a systems approach to optimise economic, social and environmental co-benefits in areas with high concentrations of poor people.
- Gender and inclusive growth: creating opportunities for women, young people and marginalised groups.
- Enabling policies and institutions to improve the performance of markets, enhance delivery of critical public goods and services, and increase the agency and resilience of poor people.
- Natural resources and ecosystem services: focusing on productive ecosystems and landscapes that offer significant opportunities to reverse environmental degradation and enhance productivity.
- Nutrition and health: emphasising dietary diversity, nutritional content and safety of foods, and development of value chains of particular importance for the nutrition of poor consumers.
- Climate-smart agriculture: focusing on urgently needed adaptation and mitigation options for farmers and other resource users.
- Nurturing diversity: ensuring that CGIAR in-trust plant genetic resources collections are safely maintained, genetically and phenotypically characterised to maximise the exploitation of these critical resources for food security, productivity, nutrient rich crops and resilient farming systems.

The 2017-2021 CGIAR Research Portfolio consists of two sets of CGIAR Research Programs and a second cluster of Research Support Platforms:[5]

Agri-Food Systems Programs:

- CGIAR Research Program on Fish Agri-Food Systems (FISH)
- CGIAR Research Program on Forests, Trees and Agroforestry (FTA)
- CGIAR Research Program on Livestock Agri-Food Systems (LIVESTOCK)
- CGIAR Research Program on Maize (MAIZE)
- CGIAR Research Program on Rice (RICE)
- CGIAR Research Program on Roots, Tubers and Bananas (RTB)
- CGIAR Research Program on Wheat (WHEAT)
- CGIAR Research Program on Grain Legumes and Dryland Cereals (GLDC).

Global Integrating Programs:

- CGIAR Research Program on Agriculture for Nutrition and Health (A4NH)
- CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS)
- CGIAR Research Program on Policies, Institutions, and Markets (PIM), which includes a Gender Collaborative Platform within one of the Flagships
- CGIAR Research Program on Water, Land and Ecosystems (WLE).

Research Support Platforms:

- Platform for Big Data in Agriculture (BIG DATA)
- Excellence in Breeding Platform (EiB)
- Genebank Platform (GENEBANK).

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5. See https://cgiar.org/research/research-portfolio/.

Finances: CGIAR has an annual research portfolio of just over USD 900 million with approximately 10 000 staff working in more than 70 countries around the world. The CGIAR annual revenue in 2017 was USD 840 million, a decrease in revenue of 6% compared to USD 890 million in 2016. System expenditures in 2017 decreased by 5% to USD 865 million from USD 907 million in 2016. The CGIAR System reported a deficit of USD 16.7 million in 2017 (USD 15.4 million deficit in 2016). In 2017, 4 of the 15 Research Centers reported a surplus, which is consistent with each of the prior two years.[6]

Funding through the CGIAR Trust Fund can take the form of one of three funding types:

● Window 1 – contributions received from Funders for CGIAR Research Programs and Platforms (CRPs) and System Organisation
● Window 2 – contributions designated to specific CRPs
● Window 3 – contributions allocated to specific Research Centers for contracted projects.

The CGIAR Trust Fund (Windows 1, 2 and 3) represented 56% of total funding in 2017, or USD 474 million (60% and USD 534 million in 2016). Bilateral project grants represented 41% of total funding, or USD 349 million (38% and USD 336 million in 2016). The remaining 3%, or USD 25 million (2% and USD 20 million in 2016), came from other income. Windows 1 and 2 funding decreased by USD 51 million (24%) from USD 211 million in 2016 to USD 160 million in 2017. Window 3 also decreased by USD 8 million (3%) from 2016. Bilateral project grants increased by USD 13 million (4%) in 2017. Other Income decreased by USD 3 million (15%).

Organisational change initiatives: At the end of 2018, the CGIAR System approved its first three-year business plan. The business plan for 2019-21 sets out an ambitious vision for the CGIAR System, with ten System actions for the period that are aimed at:

● successful implementation of CGIAR's research portfolio, supported by improved performance management systems, implementation and communication strategies on key themes, and delivery of documented results and impact through partnerships
● greater cooperation between Research Centers through both CRPs and new programmatic alliances, effectively implemented shared services and functions, and greater confidence in assurance systems through aligned advisory services
● a sustained focus on programmatic efforts to drive impacts, providing for organisational adaptation as needed and ensuring the System's longer-term relevance derived from unique sources of comparative advantage
● an increased focus on gender both in the workforce and in research programmes – as part of a clear and ambitious new cross-Center CGIAR people strategy
● funding that has stabilised and is commensurate with the task, with its quality significantly improved in terms of predictability and with the share of programmatic pooled funding in Windows 1 and 2 substantially increased.

One of the planned actions to support increased cooperation between CGIAR's Research Centers and the System Organisation is the establishment of a CGIAR Rome Hub by end 2021. Its objectives include: greater research engagement in the global food and nutrition security agenda and policy-setting discussions; more scaling of research innovations through development and relief programmes led by Rome-based institutions (Food and Agriculture Organization, International Fund for Agricultural Development and World Food Programme); and improved CGIAR connectivity to key delivery and funding partners.

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6. CGIAR Financial Report for Year 2018.

CGIAR has also taken measures to prevent and respond to sexual exploitation, abuse and harassment (see Box 1.1 for further details).

Box 1.1. Preventing sexual exploitation and abuse, and sexual harassment[7]

CGIAR's Risk Management Guidelines set out the policy requirement that CGIAR Research Centers must have their own whistle-blower policies that provide for reporting of issues.

Each of the Research Centers covers sexual exploitation, abuse and harassment variously in code of conduct, human resources, and gender and diversity policies, outlining of grievance, and appeals procedures and guidelines. The Research Centers also have their own, openly available and anonymous procedures for reporting. This is an area that CGIAR is currently strengthening, as part of the people management strategy in the new business plan.

1.3. THE ASSESSMENT PROCESS

Assessment framework

This MOPAN assessment covers the period from 2016 to mid-2019. It addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 1.2. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work, and comprises four KPIs. The assessment was conducted in line with the MOPAN 3.0* methodology, which can be found on MOPAN's website.[8]

Methodology changes in the 2019 Cycle

As part of MOPAN's efforts to ensure its assessments remain relevant to stakeholders and aligned to international best practice, the MOPAN methodology is always evolving. Lessons from each assessment cycle inform the next, and work is always being undertaken to explore how best to cover salient issues. In addition to relatively minor lessons learned from the 2017-18 Cycle conducted under the MOPAN 3.0 methodology, the MOPAN 3.0* methodology applied for the 2019 Assessment Cycle includes two notable changes.

The first is on how ratings (and their corresponding colours) are applied based on the scores at micro-indicator (MI) and KPI levels. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system.[9] The underlying scores and approach to scoring are unaffected.

The second is that organisations had greater flexibility in selecting relevant partners and countries for the survey line of evidence. This approach allows for a more relevant sampling of organisations' external partners and geographic coverage.[10]

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7. The 2019 MOPAN assessment does not assess organisations' performance with regard to preventing and responding to sexual exploitation and abuse and sexual harassment (SEAH). However, this topic will become an area of assessment for MOPAN starting in 2020. In the meantime, the assessment team collected key facts related to SEAH safeguards for information, based on documentation provided by the organisation. The assessments team did not verify the actual implementation of the instruments outlined therein or analyse their effectiveness. Insights were gathered from the following sources: key informant interviews and consultations with staff in the System Management Organization and in IFPRI and CIMMYT; Risk Management Guidelines of the CGIAR System, CGIAR, 2017, and CGIAR System 3-Year Business Plan (2019-2021), CGIAR, 2018; CGIAR and Research Center websites.

8. MOPAN 3.0* Methodology Manual, 2019 Assessment Cycle, www.mopanonline.org/ourwork/ourapproachmopan30

9. For example, previously if all elements for a MI were scored as a 2 and only one was scored a 3 (averaging above 2.01 at the MI level), this would have been rated satisfactory. Now, more than half of the elements need to score 3, averaging above 2.51, to achieve the same rating. More details on scoring and rating scales can be found in Annex 1.

Box 1.2. Performance areas and key performance indicators[11]

Aspect	Performance area	Key performance indicator (KPI)
Organisational effectiveness	Strategic management	**KPI 1**: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results
		KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels
	Operational management	**KPI 3**: The operating model and human and financial resources support relevance and agility
		KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability
	Relationship management	**KPI 5**: Operational planning and intervention design tools support relevance and agility within partnerships
		KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources
	Performance management	**KPI 7**: The focus on results is strong, transparent and explicitly geared towards function
		KPI 8: The organisation applies evidence-based planning and programming
Development/ humanitarian effectiveness	Results	**KPI 9**: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate
		KPI 11: Results are delivered efficiently
		KPI 12: Results are sustainable

Applying the MOPAN methodology to CGIAR

The assessment covers the last three years, from the 2016 CGIAR governance reforms through to mid-2019, including the formative period of the CGIAR System 3-Year Business Plan (2019-2021). It was agreed that the assessment would cover the CGIAR System, including the System Organisation and the Research Centers. Given the wide scope and the nature of CGIAR, it was also agreed that a hybrid approach, covering all aspects of CGIAR, would be the most realistic and accurate method to take, in order to make the most of the MOPAN 3.0* methodology and indicator framework, as set out in Box 1.3. KPIs 1 and 8 (on organisational architecture and evidence-based planning) were looked at from the strategic, CGIAR System level, while KPIs 2-7 (on operational planning and implementation) were examined from the Research Center and Research Programs and Platforms level. KPIs 9-12 (on results) focused on evaluation syntheses, on a sample of relevant evaluations at the CRP level and on results reporting.

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10. This increased flexibility was enabled by a streamlined data collection process for the partner survey, which was carried out directly by the MOPAN Secretariat, rather than an external service provider, for the first time in the 2019 Cycle.

11. The MOPAN indicator framework was developed by MOPAN's Technical Working Group and draws on international standards and reference points, as described in Annex C of the Methodology Manual.

A sample of seven CRPs and their lead Research Centers was selected for the assessment, as follows: WHEAT, CIMMYT; PIM, IFPRI; CCAFS, CIAT; LIVESTOCK, ILRI; RTB, CIP; Genebank, CropTrust; and FTA, CIFOR. For the interviews, assessment team members visited the System Management Office, CIMMYT and ILRI and carried out telephone interviews with the five other Research Centers, CRP leads, and representatives from selected Communities of Practice. To better understand emerging and evolving governance structures, as well as tap into institutional memory, several interviews were also conducted with select individuals from governing bodies of CGIAR. The partner survey capitalised on the increased flexibility of the MOPAN approach for 2019, targeting partners to the 15 Research Centers rather than specific countries.

Box 1.3. Applying the performance indicators to CGIAR

Performance Area	Key performance indicator (KPI)	Assessment approach
Strategic management	**KPI 1**: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results	Looked at from the CGIAR System level
	KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels	Looked at from the Research Centers level, with some consideration of system-level implications
Operational management	**KPI 3**: The operating model and human and financial resources support relevance and agility	Looked at from the Research Centers level, with some consideration of system-level implications
	KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability	Looked at from the Research Centers level, with some consideration of system-level implications
Relationship management	**KPI 5**: Operational planning and intervention design tools support relevance and agility within partnerships	Looked at from the Research Programs and Platforms level, with some consideration of Research Centers and system-level implications
	KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources	Looked at from the Research Programs and Platforms level, with some consideration of Research Centers and system-level implications
Performance management	**KPI 7**: The focus on results is strong, transparent and explicitly geared towards function	Looked at from the Research Centers level, with some consideration of system-level implications
	KPI 8: The organisation applies evidence-based planning and programming	Looked at from the CGIAR System level
Results	**KPI 9**: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals	Looked at results through the strategic and synthesis evaluations commissioned by the Independent Evaluation Arrangement of CGIAR Research, a sample of the evaluations of the CRPs and information from the annual reporting of the CGIAR System
	KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate	
	KPI 11: Results are delivered efficiently	
	KPI 12: Results are sustainable	

The MOPAN team decided not to assess two of the micro-indicators deemed not applicable to CGIAR: MI 6.3 (CGIAR works primarily through partners and so does not engage with country systems) and MI 6.7 (CGIAR works primarily with national research institutions, non-governmental organisations and private sector partners rather than directly with beneficiaries).

Lines of evidence

This assessment relies on three lines of evidence: a document review, a partner survey, and staff interviews and consultations. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible.

The assessment team collected and reviewed a significant body of evidence:

● **A document review.** The team studied 105 documents.

● **An online survey.** A total of 162 partners responded to the survey, a 33% response rate. The survey was conducted between mid-July and mid-September 2019, and partners to the 15 Research Centers were surveyed (for more details, see Annex 3).

● **Interviews and consultations.** The team carried out 50 interviews with individuals and groups.

Discussions were held with the institutional leads of the CGIAR assessment, as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and scoring and rating process can be found in the MOPAN 3.0* methodology.

Limitations

Resources were a particular constraint for this assessment given the unique and central role each Research Center plays in CGIAR. While the assessment gives a clear view of the CGIAR system, the sampling approach to the CRPs and Research Centers allows only a partial view, particularly of how the latter operate. In addition, interviews were undertaken with the main communities of practice in order to give some insight on operational functions across all the entities, although, again, this provides only a partial view.

Many of the functions covered by the KPI areas are still undergoing reform, with recently agreed policies, systems and processes, most of which are at early stages of implementation. The MOPAN method takes a snapshot of performance to date and cannot assess future or potential performance.

2. DETAILED ASSESSMENT OF CGIAR'S PERFORMANCE

Chapter 2. Detailed assessment of CGIAR's performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.
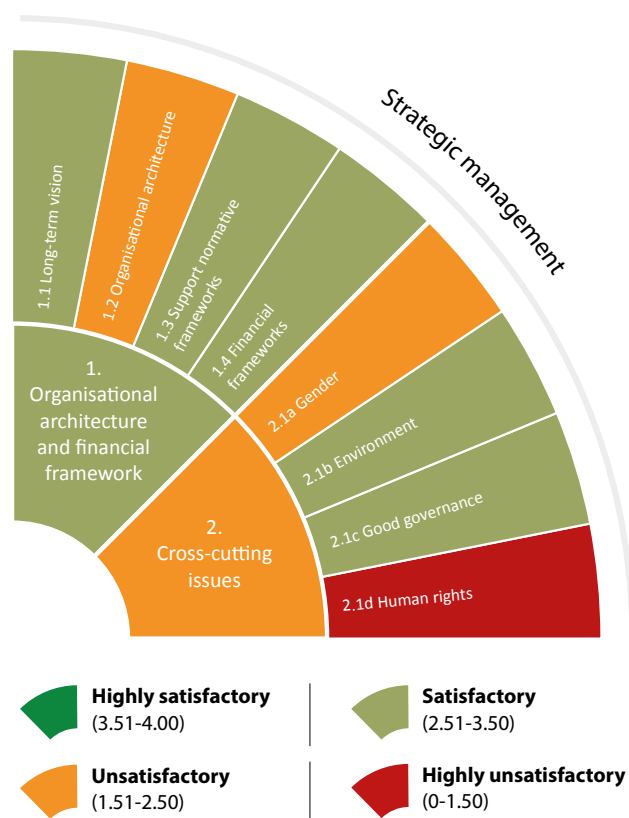
Organisational effectiveness is looked at alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

2.1. ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT
Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

CGIAR has a clearly set out strategic direction and a continued reform process needed to achieve that direction, but the experience to date, as demonstrated in the approach to cross-cutting issues, shows that advancing the process takes time. After a long period of reform, CGIAR has agreed to the crucial next stages and set them out in an ambitious Strategy and Results Framework (SRF). The first of a cycle of four business plans and a single financial plan outline what needs to change in order for CGIAR as a whole to take the plan forward. While the business plan outlines a set of key actions that are needed to create a more efficient, more focused and less fragmented System, the nature of CGIAR means that many of these actions have to be taken on board and implemented by the independent Research Centers. There is also the need to bring the Funders along, encouraging them once again to provide more consistent and longer-term support to enable CGIAR to operate more effectively as a system.

Highly satisfactory (3.51-4.00)	**Satisfactory** (2.51-3.50)
Unsatisfactory (1.51-2.50)	**Highly unsatisfactory** (0-1.50)

Other than for environment, CGIAR's approaches to cross-cutting issues have, in the main, been fragmented, often resulting in slow integration, such as with the issue of gender. CGIAR's approach to the environment has been able to substantially integrate the issues into system-level strategies, Research Centers and research programmes, both through mechanisms for planning and through an over-arching programme. While the approaches taken to

partnership and capacity building have generally been successfully integrated, there is a recognised need to move beyond the usual strategies of appointing developing country researchers to research posts and training. It is generally acknowledged in interviews and documents that the approach to integrating gender into CGIAR's research and workplaces has been too slow and too inconsistent, despite commitments set out in 2011. A new commitment was made in 2017 to raise the level of efforts on gender through a Gender Platform working across all of the Research Centers, although the results are still to be seen.

KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which CGIAR has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

CGIAR has put considerable effort over the last ten years into agreeing and putting in place a clear and forward-looking strategic plan, while a number of recognised challenges remain in implementing this plan. The Strategy and Results Framework 2016-2030 sets the broad outline of what CGIAR aims to achieve. For the first time, it is backed up with a business plan for 2019-21, with plans for three further, three-year business plans up to 2030 and with a research financing plan (2019-2021 FINPLAN) bringing together, in a single budget, all of the resources for the CGIAR Strategy. The SRF itself requires further work at its next review point both to adjust to the Sustainable Development Goals (SDGs) and to set out achievable and measurable outputs and outcomes for the CGIAR network as a whole, an issue it acknowledges. The key challenges in taking forward the SRF are the continuing reforms necessary to make CGIAR an effective and focused system, as set out in the first business plan, and funding for such an ambitious plan, with a need to develop a shared vision between CGIAR and its Funders.

CGIAR's new SRF defines the aspirations and strategic actions of the CGIAR System as a whole, with the 15 Research Centers working to deliver on the overall mission. The SRF is ambitious, setting out a significant contribution towards global targets and the SDGs and clearly outlining CGIAR's comparative advantage in addressing a set of overall targets, specifically through diverse partnerships. In interviews and in responses to the survey by CGIAR's partners, there was a recognition of the clarity of vision and the understanding of the comparative advantage. Within this framework, CGIAR is committed to a cycle of four three-year business plans. The first, for 2019-21, sets out the decisions and actions that need to be taken at the collective level, while reflecting that the implementation of actions the plan lays out will be most efficiently and effectively addressed through Center-level decision-making processes.

CGIAR has undergone a considerable process of reform and change over the last decade. The new business plan sets out both the potential of the System and the case for continued reform and managed improvement. The plan defines a range of actions, which are aimed at creating a more efficient, more focused and less fragmented System. One of the most important commitments is to improving performance management over time, through a combination of carefully evaluating the past programmes and developing approaches to assure that current research management systems are designed, positioned and managed to deliver impacts as effectively and efficiently as possible. Many of these processes are only part-way through after a number of years, due to the extensive cross-CGIAR negotiations required, with systems now broadly agreed but implementation only in the early stages. There are considerable concerns about the time that reform processes have taken and the need to keep a complex group of stakeholders together in the ongoing reforms. As the Research Centers are independent and autonomous institutions, reforms and changes have to be negotiated and agreed, all of which takes time.

The SRF sets out how the CGIAR System will contribute to the achievement of the SDGs, particularly reducing poverty, increasing food and nutrition security for health, and improving natural resources systems and ecosystems services. The business plan further develops this vision, setting out CGIAR's specific role, although this is still a work in progress. The Annual Performance Report 2017 was the first to bring together systematised data from across CGIAR on progress towards the research outcomes in the SRF, as well as to outline the contributions towards the SRF targets and the SDGs. At the time of the assessment, the 2018 report was still in preparation, with work being put into ensuring the quality of data which supports the reporting.

When the CGIAR Research Programs and Platforms (CRPs) were first launched, CGIAR expected that the Funders would provide a greater proportion of funding that it could use flexibly. After an initial period where this optimism was realised, Funders have increasingly returned to more bilateral funding through the Research Centers. CGIAR has had to work hard to ensure that the main priority areas, primarily the CRPs, continue to receive adequate funding. Particularly for the staff in Research Centers, this has had an effect on the time available for actually carrying out research and for disseminating the results. Efforts are now being made to make the funding and allocation processes more transparent, for example through financial dashboards, as a means to encourage Funders to be more consistent in their support and to take a longer-term perspective.

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.

This KPI looks at the articulation and positioning within CGIAR's structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

Structures and mechanisms to support cross-cutting issues are quite fragmented within CGIAR, leading to slow progress on their integration, with the exception of environmental sustainability and climate change. The approaches taken to the main cross-cutting issues vary considerably, and there have been similar variations in the effectiveness of these approaches. While work on gender has been ongoing since 2011, it was rekindled in 2017 to bring new life to these efforts. Work on environmental sustainability and climate change has been central to CGIAR's research, and the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) has been particularly successful in bringing this work together and giving it a greater global profile. CGIAR's partnerships and capacity building again are central to how research is carried out, although there is a recognised need for greater consistency. CGIAR has a high-level commitment to protecting and promoting farmers' rights; however, this is currently regarded as the responsibility of specific parts of the network rather than as a cross-cutting issue for the organisation as a whole.
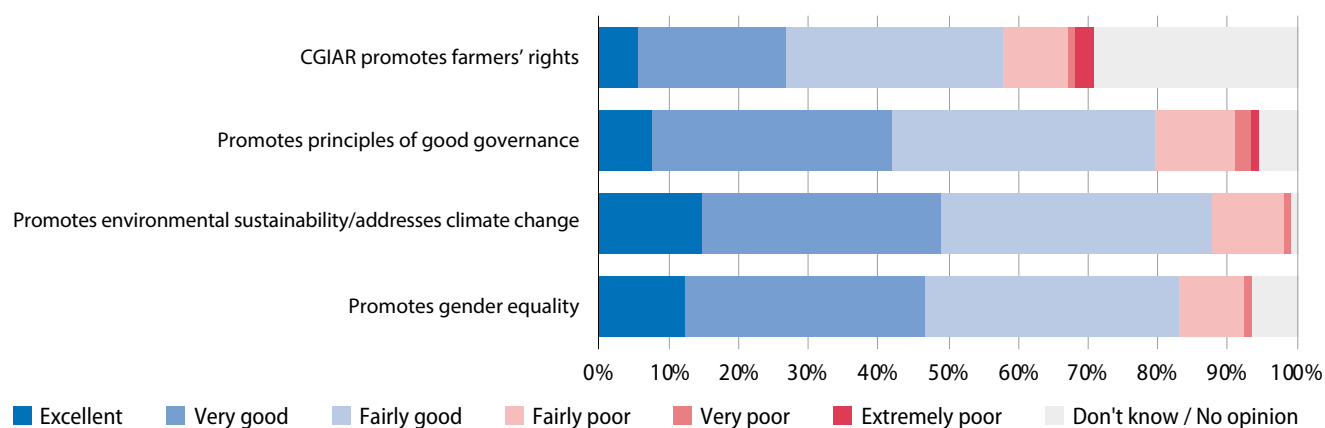
Integrating a focus on gender equality and women's empowerment has been part of the CGIAR strategy since 2011 and earlier, but there is widespread recognition and frustration that integration of gender issues into CGIAR's science and workplaces has been partial and slow. Gender equality indicators are integrated into the SRF, and gender is further set out as one of eight research priorities. However, these indicators are at an outcome level and do not allow close tracking of how gender concerns are being integrated into the design and implementation of CGIAR's research and human resources policies. While the accountability system is broadly implemented, it is fragmented and so tends to track the numbers of gender-related projects and initiatives rather than progress towards gender integration. Since 2017, gender has been re-prioritised in the new system-level business plan through both the development of a new gender and inclusion policy and people management plan, and an injection of dedicated funding provided by donors to elevate a new Gender Platform within the CGIAR architecture. The Gender Platform is intended to provide leadership, expertise and resources across the system to better prioritise and integrate gender equality issues in all of CGIAR's research. However, these measures are still in development, with implementation due to start in early 2020.

Environmental sustainability and climate change is a core focus of CGIAR's research, and substantially integrated into system-level strategies, Research Centers and research programmes. Although there is no dedicated policy statement on climate, CGIAR's commitment to environmental sustainability and climate change is explicitly expressed in various strategic documents and is widely implemented and accountability systems are comprehensive. Substantial climate change leadership, expertise and resources are mobilised across the system by the CCAFS, led by the International Center for Tropical Agriculture, which is a collaboration among all 15 CGIAR Research Centers and coordinates with the other CGIAR research programmes to integrate climate change. A high proportion of survey respondents (just short of 50%) rated CGIAR's performance on environmental sustainability as excellent or very good (see Figure 2.1). However, more could be done to integrate climate change more consistently and strategically into the design of interventions, through expert advice and capacity building.

While working in partnerships and capacity building is integral to promoting CGIAR's development outcomes at scale, there is considerable variability in the strategic rationale and effectiveness of partnership strategies at CRP level. The definition of good governance used in the MOPAN assessment focuses principally on the approach that CGIAR takes to partnerships, particularly at the national level including government agricultural research systems, and on capacity building of these partners. A clear policy and strong accountability systems track a high volume of partnerships along the phases of the impact pathway. A further challenge is that financial and human resources are seen to be suboptimal for a more strategic, effective and sustainable approach. This is balanced by the concentration of resources and expertise in the CGIAR Research Program on Policies, Institutions, and Markets directed towards the institutional policy and regulatory environment, which is the other aspect of good governance addressed by CGIAR.

The Genebank Platform provides leadership, advice and guidance to Research Centers on farmers' rights, but there are few other resources and little development of capacity dedicated to ensuring a consistent approach. CGIAR does not work explicitly on human rights, rather it is committed to protecting and promoting farmers' rights, aligning with the System's overarching strategic commitment to the interests of poor farmers, both men and women. While there is no explicit policy, CGIAR Research Centers that host genebanks have legal treaty obligations within the International Treaty on Plant Genetic Resources for Food and Agriculture to protect and promote farmers' rights within their approach to conserving and making available a global resource of germplasm from crops and trees. These obligations are further embedded within the System-wide Principles on Management of Intellectual Assets. This has an implementation plan but no accountability systems to track system-wide efforts on farmers' rights.

Figure 2.1. Cross-cutting issues

Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion

Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability.

While CGIAR is predominantly rated as satisfactory for the main elements of operational management, this is the performance area in which the principle challenges in implementing the reform processes set out in the business plan. The responsibilities for deciding where and how the assets and capacities of CGIAR as a whole should be used are not concentrated at the CGIAR System level but are spread between the System and the Research Centers, which has both strengths and weaknesses. The CGIAR System has aimed to provide strategic guidance and consistent support for implementing the CRPs, while the Research Centers have direct control over the main human resources and have the flexibility to allocate resources, as well as raise bilateral funding for research programmes.

Highly satisfactory (3.51-4.00)

Satisfactory (2.51-3.50)

Unsatisfactory (1.51-2.50)

Highly unsatisfactory (0-1.50)

The strengths of operational management in this organisational structure are that CGIAR programmes have remained highly relevant and have demonstrated their agility in responding to new problems and challenges.

The weaknesses of the organisational structure stem in part from the fact that the CGIAR System has not been able to provide the consistent assets, financing and capacities originally envisaged. This was shown, for example, when the optimism about strategic and flexible funding was not realised, resulting in Research Centers having to put more resources into bilateral fundraising, with significant impacts on staff time and consequent fragmentation between bilateral and CGIAR pooled programmatic funding. The weaknesses also show up in the relatively slow processes of, first, ensuring greater accountability, with the negotiated approach to developing systems for increased financial transparency, and, second, the careful and considered approach that CGIAR is having to take to reforming people management.

KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

Overall, CGIAR's operating model and human and financial resources are rated as satisfactory, although there are significant challenges in reforming the model and the support needed to keep up with the ambitious SRF. In the current operating model, responsibility is divided between the CGIAR System Council and CGIAR Trust Fund contributors, which intends to provide consistent and strategic support, and the Research Centers, which have to seek bilateral funding and make their own decisions around funding. While the recently introduced business plan and FINPLAN seek to develop a new approach to resource mobilisation, former expectations about support to the CRPs have not been met. The new business plan also focuses on developing a reformed approach to people management across all of the Research Centers, although this approach is still under discussion.
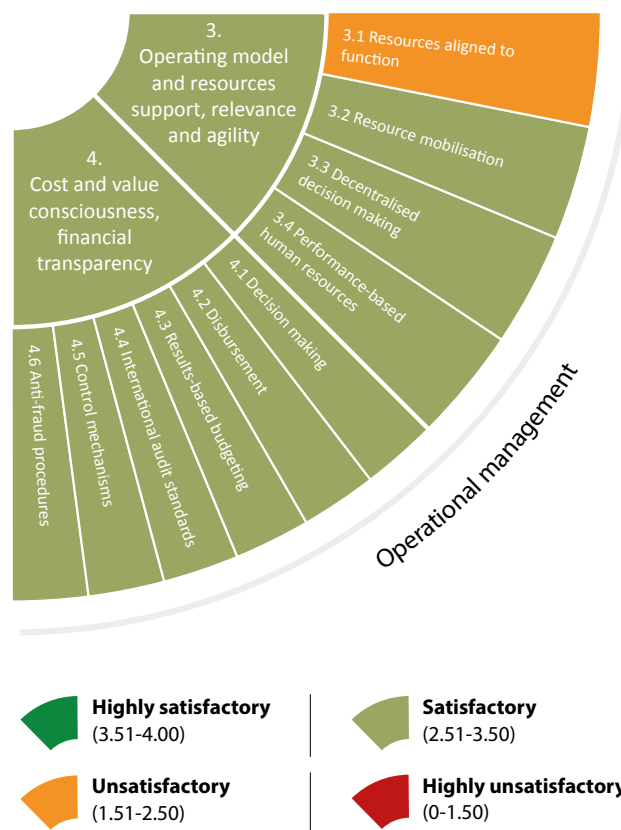
CGIAR has been through several periods of reform. The current period has been underway since 2016. There is a noted feeling now that the most recent reforms have the clearest purpose and buy-in. The reforms are supported by clear implementation plans through the new business plan, with the Research Centers working to develop the CGIAR System further; however, the process of implementation can take considerable time. At the CGIAR System level, the new business plan and the associated FINPLAN set out a new approach to resource mobilisation, with an aim for a realistic, transparent and achievable plan, which is shared by Funders and Research Centers focused on the CGIAR research priorities for the 2019-21 period. While efforts have already been made to ensure multi-year funding, CGIAR is also encouraging System Funders to be clearer and more consistent in their support, through multi-year funding pledges or, at minimum, notional Statements of Funder Intention. The FINPLAN also includes a commitment to increase the volume, predictability and stability of available funding, with clear targets and a commitment to greater transparency around funding.

The CGIAR System Framework clearly sets out the role of the Research Centers as independent and autonomous organisations with their own governance structures. The Research Centers deliver innovative research outcomes within the CGIAR SRF based on resources provided by the Funders. There is evidence from evaluations that the existing approach to resource mobilisation has had a negative effect on the work of Research Centers. The 2017 Evaluation of Partnerships also concluded that the funding situation has generated a great deal of dissatisfaction and tension. Core funding through Windows 1 and 2, which was expected to provide a solid funding base underpinning research programmes and strategic engagement in partnerships, has not materialised at the level expected and also has been unreliable. The current business plan emphasises the importance of maintaining the independence of the Research Centers and seeks to increase the consistency of the support that the Research Centers receive in order to decrease these tensions.

On human resources, at the System level, the current business plan sets out a process of reform for people management, to be developed for the next business plan cycle. As part of this people management strategy, one of the objectives is to consolidate System-wide human resources data and metrics as part of the wider performance measurement, information management and accountability mechanisms. This is still a work in progress.

Each of the independent Research Centers makes its own decisions around staffing. Currently, the largest proportion of the funding for the Research Centers comes bilaterally and, hence, staffing is only partially aligned with the current SRF. Added to this, after initial support from Funders, since 2015 there has been a decline in funding through Windows 1 and 2, which were central to developing and implementing the CRPs. As a result, the Research Centers have had to mobilise considerable resources for bilateral funds, leading to more variable alignment between human and financial resources and the current SRF (see Figure 2.2).

Figure 2.2. Staffing
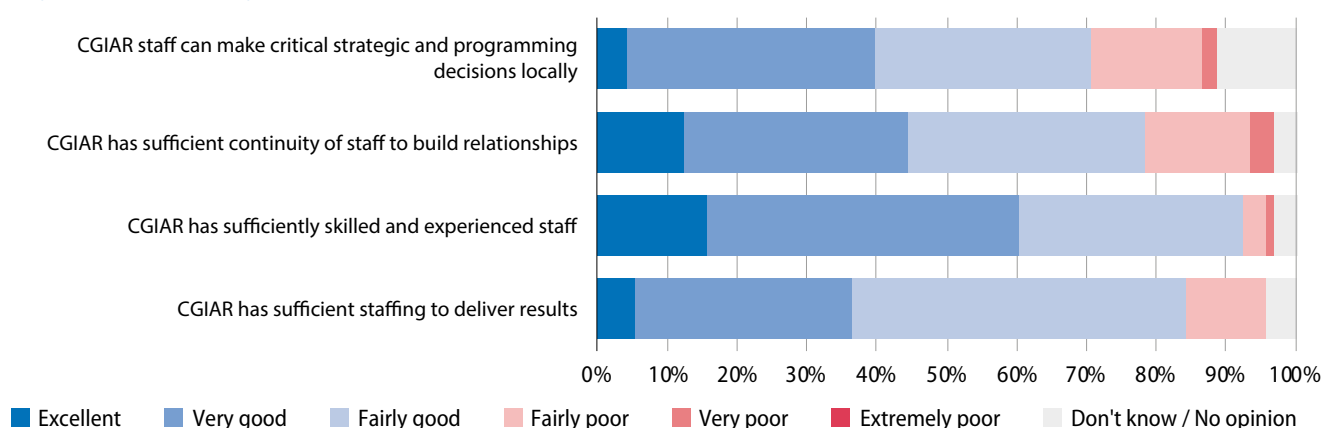
Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability.

This KPI examines how CGIAR uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

There are effective organisational systems in place across CGIAR, and improvements continue to be made to ensure better financial transparency and accountability. The new SRF is complemented by the FINPLAN covering the first business plan period, setting out objectives to build on a recent period of greater financial stability. This has also been complemented by a set of dashboards on the CGIAR website, which have the aim of further increasing financial transparency. The financial accountability systems operate at the Research Center level, with efforts being made through the CGIAR System to build on and encourage greater consistency in the way that these systems operate. The CGIAR System reforms have also put in place oversight committees in the System Council and System Management Board, which take an overall perspective on accountability and on the management of risk.

A decline in funding to Window 1 (W1) and Window 2 (W2) in 2015 meant that budgets allocated to the CRPs had to be reduced substantially, resulting in considerable instability for the Research Centers. The partners of the Research Centers have recognised that this instability exists, despite efforts to maintain the financial support provided. As the funding to Windows 1 and 2, although declining, has become more predictable in the last few years, the situation for the Research Centers has become easier to handle, allowing for better forward planning. The current three-year business plan sets out the planned minimum distribution of W1 and W2 funds to Research Centers, as an effort to increase stability. Efforts have also been made to ensure greater transparency about how resources are allocated and utilised (see Figure 2.3), through financial dashboards and reporting on CRP work plans.

Research Centers involved in CRPs have considerable flexibility to make changes in the use of resources, both in terms of allocating W1 and W2 funding and particularly in the use of W3 funding, which is directly allocated to specific Research Centers. The Plans of Work and Budget (POWBs) are a means for CRPs to set out annual financial plans and to account for any major changes planned. The POWBs align the CRPs' budgeting to the SRF by setting out costings against the sub-Intermediate Development Outcomes and the high-level results areas, although this is not a systematic approach to results-based budgeting. The Consolidated Report of CGIAR Research Work Plans for 2017 includes a section recording and analysing the reported variations in POWBs for the CRPs. This records the use of W1 and W2 funding to enable long-term and comprehensive research activities and is used as a means to manage variations in spending and improve performance.

## Figure 2.3. Financial resources
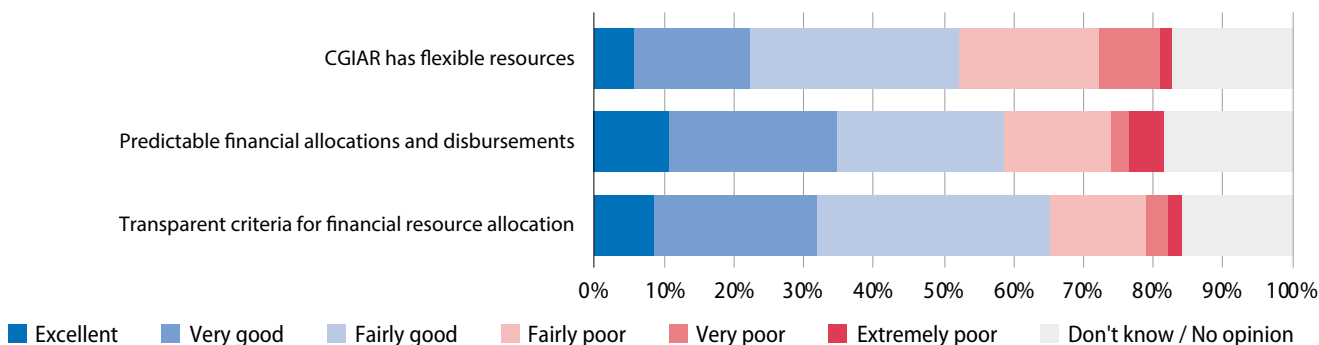
Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

The System Council has as one of the standing committees an Assurance Oversight Committee, whose purpose is to oversee the Internal Audit Function, the independence of external audit functions and of the system-wide governance, risk management and internal controls. The System Management Board is responsible for ensuring the completeness and effectiveness of arrangements for the Internal Audit Function, taking into account audit arrangements at the Research Centers and the risk management framework. The CGIAR System Organisation and each of the Research Centers are independent organisations that produce annual financial statements which are externally audited. In 2018, the chairs of CGIAR's Research Center Audit Committees agreed to commission a single firm to carry out an External Quality Assessment of all Center-based Internal Audit services. While CGIAR plans to build on this assessment, CGIAR as a whole has yet to adopt a policy of publishing internal audit reports. Each Research Center has its own anti-fraud and anti-corruption policies, which clearly define the roles of management and staff, include a commitment to developing and conducting training and disclosure programmes, and set out clear mechanisms for reporting fraud.

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT
Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).

Working in partnerships is central to how CGIAR operates, and the CRP planning, implementation and monitoring processes have built on this to encourage greater collaboration across the System, while there are still areas for further strengthening. The Research Centers have always worked with a wide range of partners globally, regionally, nationally and locally, and the CRP process has added to this by bringing the Research Centers together in the programmes and platforms to extend this range of partners still further. CGIAR is recognised globally as a solid and consistent partner in research, and its knowledge products, shared through both publications and capacity building, are also recognised and valued. The CRPs have worked hard through a period of uncertainty around financial resources to maintain these relationships and this reputation. At the same time, there is a recognition within CGIAR of the need both to expand the range of approaches taken in partnerships and capacity building and to take greater account of cross-cutting issues, risk management and longer-term sustainability.
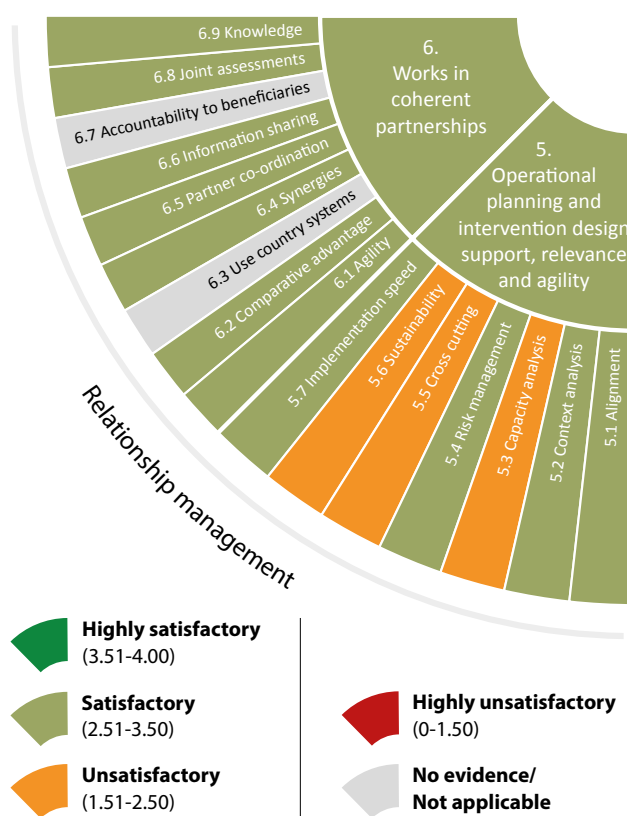
KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of CGIAR's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

The CRP planning and design process brings together a range of partners, both within CGIAR and externally, ensuring that programmes are relevant to regional and national contexts and align to changing priorities. Research Centers have considerable flexibility in implementing the CRPs and work closely with partners in addressing cross-cutting issues, to a certain extent, and in identifying and responding to risks. The well-established relationships

Figure 2.4. Design and implementation of interventions
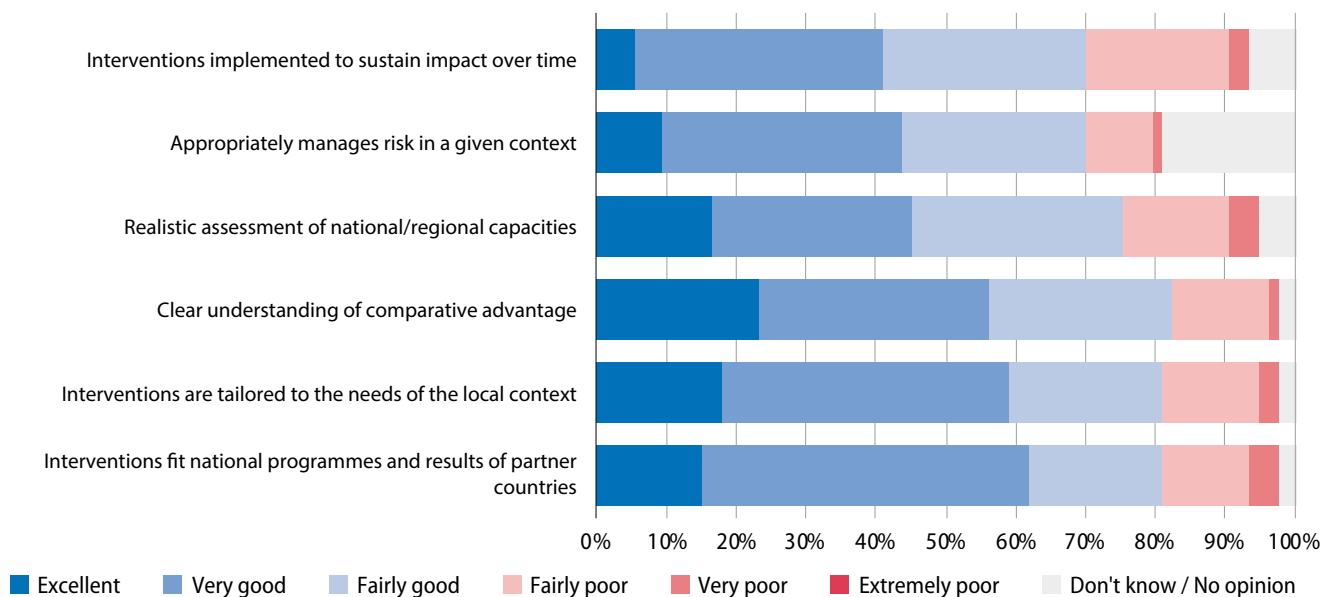
Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

with partners and the relatively long timeframes of the programmes ensure that medium-term (three to five years) sustainability issues are generally well addressed. However, a more consistent approach to working with partners is sometimes lacking, as recognised in CGIAR's work on capacity development. The approaches to capacity development can be somewhat limited to research opportunities and research training, and there needs to be a greater focus on long-term (five to ten years) sustainability.

Research Center staff and those leading CRPs work closely and on a regular basis with a wide range of stakeholders from national and regional levels, in developing programmes and in responding to new and emerging issues affecting the programmes. These relationships have been developed and maintained over a long timeframe and are of considerable significance to the Research Centers. They help to ensure that the programmes are relevant to the contexts in which they are implemented, to build on and extend the capacity of implementing partners and to provide regular opportunities for reflection on progress and changes needed (see Figure 2.4). The coverage of risk management, cross-cutting issues and sustainability in the planning of CRPs is currently adequate, while there are efforts being made to raise the quality of planning and implementation through a set of performance management standards outlined in the new business plan.

KPI 6: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources.

This KPI looks at how CGIAR engages in partnerships to maximise the effect of its investment resources and its wider engagement.

Partnerships are central to the work that CGIAR and the individual Research Centers do, and still more could be done by building on the current, relatively limited approaches used and by promoting innovation. Generally, partnerships are developed and maintained effectively through CGIAR's approach to programming (see Figure 2.5), where CGIAR makes good use of its comparative advantage as an international organisation, while maintaining flexibility and agility through implementation by Research Centers. The resources that are available through W1 and W2 funding have been used strategically, in the main, to leverage the resources that partners at national, regional

and international levels are able to provide. At the same time, CRPs have worked strategically to expand the range of partners, particularly by collaborating with the private sector. CGIAR plays an important role internationally in terms of producing knowledge products, open access data and genetic material, most notably through the Genebank Platform.

However, the Evaluation of Partnerships in CGIAR highlights that the lack of a strategic position on partnerships and development of capacities means that approaches used are either narrowly focused or ad hoc, often preventing or limiting the spread of innovative approaches.

The evaluation found that CGIAR's comparative advantage lies in a combination of two factors. The first is CGIAR's presence in and knowledge of the many countries where it works, in some cases with long-term links to national institutions. The second is its reputation as a solid scientific partner — a world leader in some areas. In response to this conclusion, CGIAR has undertaken efforts to build on these strengths, and become more strategic and promote innovation in approaches. One example is the performance-based management system, currently under development, which focuses in part on partnerships. CGIAR makes good use of this comparative advantage, co-ordinating closely with a wide range of partners both to develop research programmes that draw effectively on the often unique resources that their partners offer and to regularly review progress and challenges. CGIAR is widely recognised for the quality and utility of its knowledge products, but more could be done to extend their reach.

## Figure 2.5. Managing relationships
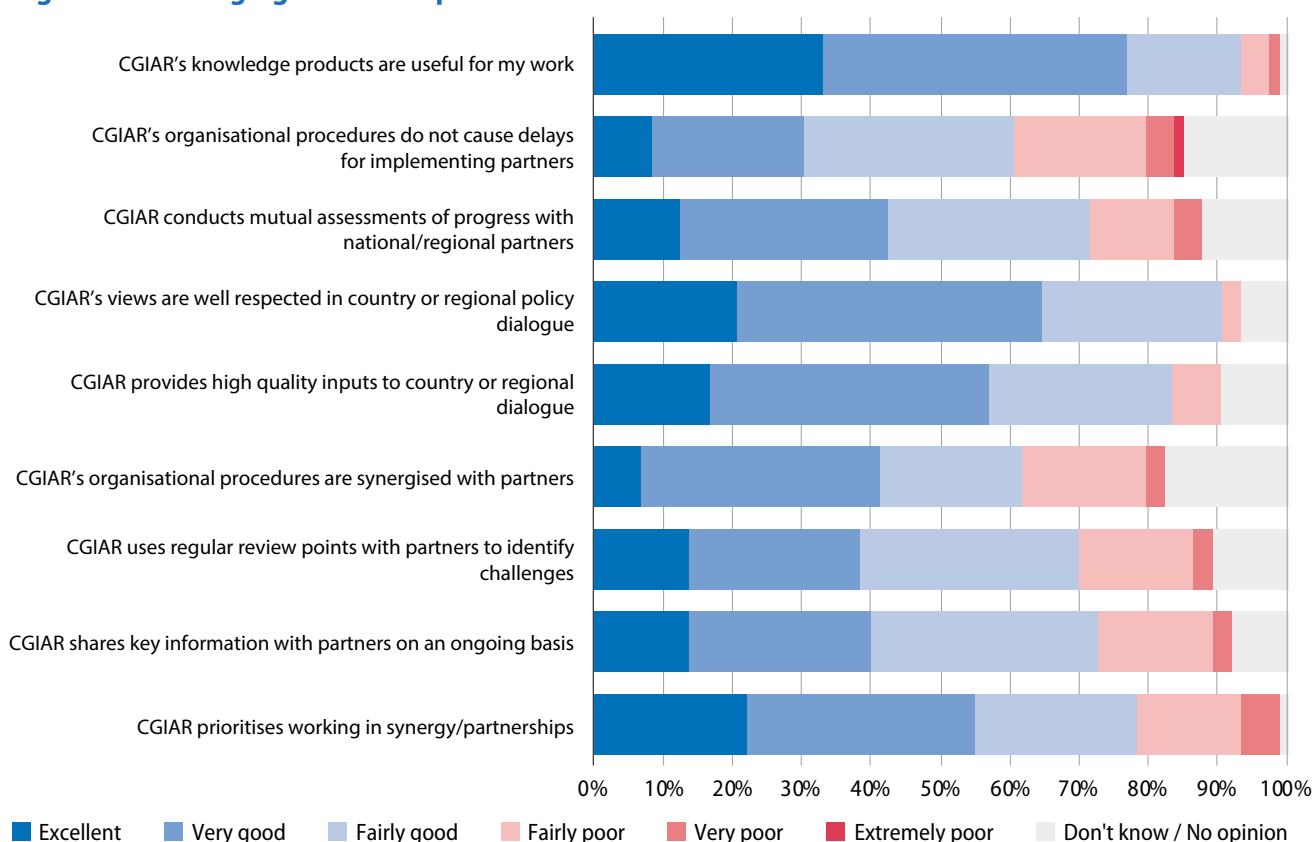
Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning.

CGIAR is performing unsatisfactorily on performance management, with added uncertainty around its evaluation function currently in transition. Recently implemented results-based management (RBM) processes and data systems should deliver improvements by the end of the current business cycle in 2021. RBM has been evolving since before 2015 and improving through subsequent reform processes. Corporate commitment to a results culture is evident, but there have been both conceptual and operational tensions with implementing RBM in practice. These include the need for considerable managerial change and data systems development at different levels. Investment in and resourcing of RBM has also been fragmented and varied within CRPs and Research Centers across the System. However, since 2017, there has been increasing harmonisation and maturing of RBM systems and processes, including a shared management information system (MIS) to

Highly satisfactory (3.51-4.00)

Satisfactory (2.51-3.50)

Unsatisfactory (1.51-2.50)

Highly unsatisfactory (0-1.50)

aggregate reporting information at the System level and the launch of a System-wide Performance Management and Outcomes approach. The first Annual Performance Report was published in 2018 (based on 2017 data), drawing on the MIS data from CRPs and Research Centers as well as evaluations and impact assessments from across the CGIAR System. By the end of this business plan cycle, the addition of a live results dashboard is expected to accelerate the momentum towards an integrated and consistent RBM process applied across the System.
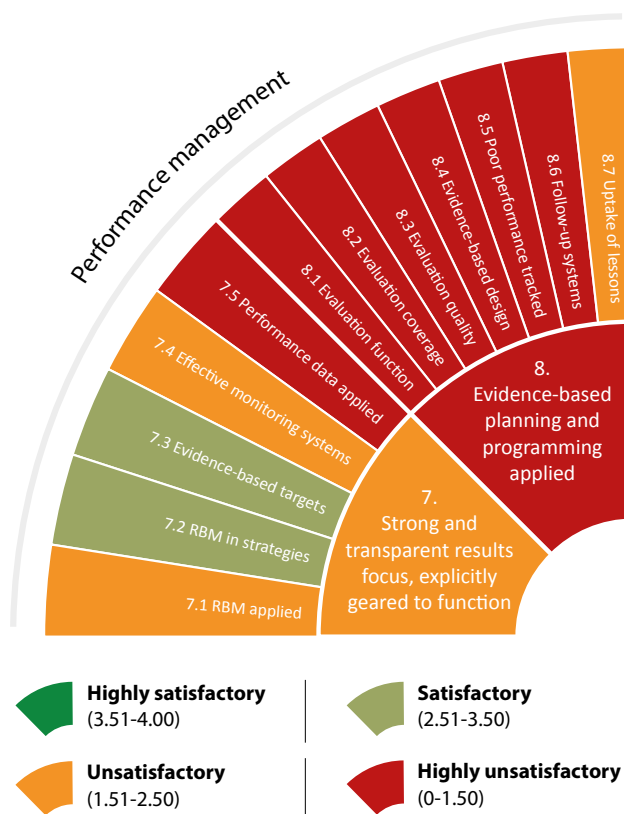
The independent evaluation function has been significantly reformed since January 2019. This has led to a high degree of uncertainty relating to its independence, coverage, quality assurance role, and its role in supporting the evidence-based design of new interventions and tracking poor performance. This uncertainty flows both from the new design of the function and a prolonged transition period that has delayed implementation. The reform represents a significant shift from the previous arrangement, moving from a separate evaluation entity to a shared advisory services secretariat, with changed lines of reporting adding intermediate layers between evaluation and the System Council (board) level. This change in positioning within CGIAR structures raises questions around the independence, leadership and discretion that the evaluation function will have in practice to deliver its role and mandate. There is a risk of reduced discretion to strategically commission corporate evaluations to promote performance improvement, alongside a reduced ability to provide leadership across the system to ensure good quality, consistent and effective decentralised evaluations to support evidence-based design of interventions. Nevertheless, the existing evaluation policy is expected to continue in essence with some revisions, and there is a fully-funded three-year evaluation programme in place, although implementation had not yet started at the time of the assessment. Uncertainty is expected to diminish once the evaluation function recruitment is complete and testing of the new design through implementation gets underway.

KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how CGIAR transparently interprets and delivers an organisation-wide focus on results.
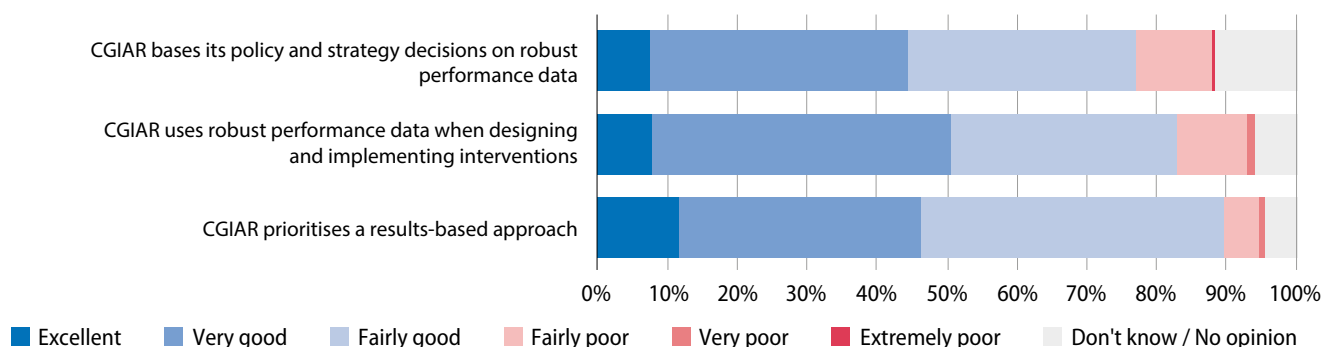
Overall, CGIAR has a strong results focus, reinforced by the ten-year Strategy and Results Framework, although the implementation of effective monitoring systems has taken considerable time and is not yet complete. The SRF provides a clear direction towards development outcomes and has helped to establish a culture of results. It enshrines the corporate commitment to a results culture by defining a cascading results and outcomes framework for the System-wide business plan and programme strategies. CRP plans refer to and align with the SRF and the well-established layers of System Level Outcomes and Intermediate Development Outcomes (IDOs), as appropriate to their focus. However, since being introduced in 2009 as a priority, RBM has been evolutionary and incremental rather than having a strategic and directed route. This led to inconsistencies in core concepts in the first phase and in the setting of unrealistic outcome attribution expectations that did not reflect the complexities of the pathways through which long-term research influences development outcomes. A proliferation of diverse monitoring approaches and information technology (IT) systems ensued, fragmenting investment in and resourcing of RBM across the System.

Since then, more directed evolutions in the framing and layering of results have improved consistency, allowing common performance reporting approaches and standards to be introduced and implemented. A newly-introduced planning cycle aligns various processes to review results targets at different levels, including the SRF's ten-year results targets, based on impact assessment studies and evaluations that are planned within the three-year business plan cycle. However, it is recognised that measuring the SRF's long-term outcome indicators remains a challenge, requiring specialist technology adoption and impact assessment studies and evaluations.

Increasingly aligned monitoring and data systems are now able to capture key corporate results. The maturing of CGIAR's results frameworks has allowed the development of a shared set of tools and methods for measuring performance and managing for results. These are now available and broadly harmonised; they include common reporting processes, shared IT data systems and a quality assured Annual Performance Report. The new CGIAR-wide performance and results processes and systems, because they have been built up and tailored to varying needs across CGIAR, have both buy-in and acceptance and have been used as designed across the system for the first year of reporting, delivering a strong performance-based product. The 2017 Annual Report is the first strongly performance-oriented report at the System level, capturing progress against the SRF and intermediate outcome areas, as well as for thematic portfolios. Links are provided from reported performance to underlying, quality assured evidence. The 2018 Annual Report had not been released at the time of the assessment but is expected to continue to build on the data produced by the new systems. The new performance and outcomes process is intended to be further systematised in 2019, as the live dashboard and MIS system are finalised and rolled out. However, uncertainties remain around what level of resources will be allocated to maintain and further develop the new processes and systems, especially to meet the demands of maintaining a live dashboard with quality assured data.

CGIAR has a gap in terms of integrating performance data into the management of interventions. There are acknowledged misalignments between results tracking, performance monitoring and planning cycles (see Figure 2.6). The assessment team found no clear evidence that management at different levels of CGIAR (at the System or CRP levels) routinely reviews corporate performance data and makes appropriate adjustments. This is to do partly with the challenges already noted in establishing effective reporting systems, and partly with the longer time cycles associated with research-driven results. Also, CGIAR's distributed and devolved decision-making entities (System-level, CRPs and Research Centers) have different management information needs which cannot all be met by the new performance management systems. Nevertheless, there have been significant efforts to integrate evidence from past evaluations

Figure 2.6. Performance management

Bar chart legend:
- Excellent
- Very good
- Fairly good
- Fairly poor
- Very poor
- Extremely poor
- Don't know / No opinion

Categories (top to bottom):
- CGIAR bases its policy and strategy decisions on robust performance data
- CGIAR uses robust performance data when designing and implementing interventions
- CGIAR prioritises a results-based approach

X-axis: 0% to 100%

Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

and impact assessment into the research planning at the CRP and Center level, and it is widely hoped that the new evaluation function will continue to deliver and support CRP evaluations. Once live, the performance dashboard may provide more momentum towards routine integration of data and evidence in interventions, but this has not yet been implemented.

KPI 8: The organisation applies evidence-based planning and programming.

This KPI focuses on the evaluation function and its positioning within CGIAR's structures, attention to quality, accountability and putting learning into practice.

Overall, CGIAR's performance on evaluation is highly unsatisfactory, due to uncertainties around how the significantly reformed evaluation function will perform in practice, although uncertainty is expected to diminish once implementation begins. The newly reformed evaluation function is untested, there is uncertainty about its operational independence, coverage, quality assurance role, and its role in tracking poor performance and promoting evidence-based design of new interventions. The uncertainty is compounded by CGIAR's devolved organisational architecture. This has led to a somewhat uncoordinated approach to evaluation and impact assessment, with efforts led by different entities within the CGIAR System, each with a different scope and scale. Research Centers and CRPs conduct evaluations at the programme level, while corporate evaluations and impact assessment are delivered through two separate system-level functions.

The 2012 Evaluation Policy adopted a building block approach to promote coherence between these layers, and the previous evaluation function produced a set of high quality independent, external evaluations and syntheses between 2015 and 2017. These were used by CRPs to inform programming but were less used by the two System Boards, mainly due to a lack of alignment with decision-making needs and cycles. To improve this alignment, the corporate evaluation function has been reformed and has been in a prolonged transition since January 2019, with recruitment still ongoing. The reform represents a significant shift from the previous arrangement, moving from a separate evaluation entity reporting directly to the System Council, to locating evaluation within a shared advisory services secretariat. The new evaluation function is one of three work streams delivered by the secretariat, brought alongside functions delivering impact assessment and advice on science and development priorities respectively. There is no head of evaluation post, rather a senior officer for evaluation, with changed lines of reporting via two levels of management to the System Council.

Although there is a three-year, fully-funded evaluation work programme in place, the new design of the evaluation function may in practice limit its independence and discretion to set the evaluation work plan. The first principle in the terms of reference (ToR) for the Advisory Services states that the advisory staff will provide independent advice, being neither Funders nor implementers of CGIAR. The ToR also states that the head of the Shared Secretariat will carry out the evaluation function under the broad oversight of the Strategic Impact, Monitoring and Evaluation Committee (SIMEC — a standing committee of the System Council, made up of CGIAR's Funders), as well as reporting operationally to the Chair of the Independent Science for Development Council. SIMEC is also envisioned in the ToR as playing a role in managing workflow design and delivery of evaluations, an operational rather than strategic role. This close involvement of Funders via SIMEC risks undermining the principle of independence. The extended transition period has necessitated SIMEC's close involvement in developing the evaluation work programme; however, it is not yet clear if the operational oversight from SIMEC will continue into implementation.

The quality standards and coverage for CGIAR independent evaluations are captured in the existing evaluation policy, which is expected to continue in essence with some revisions. Quality evaluation standards are provided in the 2012 Evaluation Policy, the associated 2015 Evaluation Standards, and other guidance documents that set out how quality is to be managed in System Council-commissioned evaluations and decentralised ones. These elements are expected to remain in the revised evaluation policy. However, interviews noted some uncertainty around how CRP-commissioned evaluations will be supported and quality assured under the new arrangements.

Tracking poorly performing interventions through a universal system has been challenging in the CGIAR System context, although a new, combined performance management process is being developed. This combined approach, detailed in the 2019-21 business plan is designed to strengthen the identification and management of poorly performing interventions, at the CRP and Center levels. The approach will comprise reviews and evaluations of the past programmes, together with assurance on current research management systems provided through system-wide performance standards (partially discussed under KPI 7). This will be complemented by more regular results reporting through the live results dashboard and more systematic inclusion of past lessons. The business plan details a 12-point plan to deliver this combined approach, which has commenced with the performance standards for research management, although it has not yet been fully implemented.

Lessons learned from past interventions are freely available in the online evaluation repository, but there is no formal requirement yet to demonstrate how they have informed the design of new interventions, although this has happened on an ad hoc basis. Accountability for responding to evaluations and implementing recommendations is set out in the ToR for the Advisory Services. The evaluation function is responsible for ensuring that recommendations, lessons and actions flow first to the System Council as the primary audience and then to the relevant bodies – CRPs or Research Centers – to take ownership and monitor the actions (see Figure 2.7). However, this mechanism has not been implemented yet.

Figure 2.7. Evidence-based planning and programming
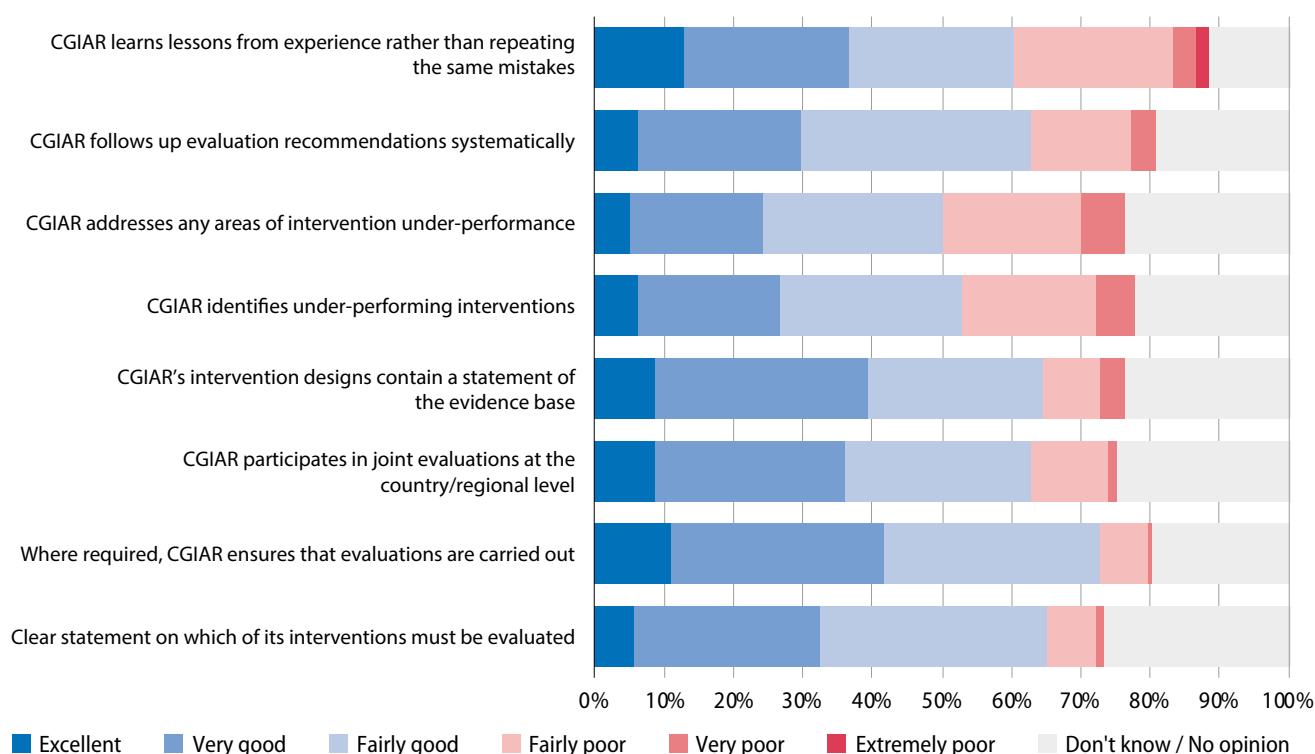
Source: Based on responses to the 2019 MOPAN External Partner Survey: CGIAR, July-September 2019.

2.2. DEVELOPMENT/HUMANITARIAN EFFECTIVENESS

PERFORMANCE AREA: RESULTS
Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

CGIAR is performing satisfactorily in achieving development objectives, although it has some key areas of weaker performance. Climate change is identified as an area where CGIAR makes a highly positive contribution, with many examples of leadership contributions to global, regional and national efforts through collaboration between the CCAFS research programme and CGIAR Research Centers. Areas of weaker performance include gender equality and women's empowerment, where efforts both in research and in the workplace are at an early stage, although pockets of good practice are emerging. CGIAR's work on human rights, specifically farmers' rights, could be strengthened and made more proactive.

CGIAR is working coherently with other development actors, at national and international levels, and contributing to the development of policies and programmes. CGIAR is effectively building the partnerships required to adopt CGIAR research and technologies at scale to promote development outcomes, although there are questions around the long-term sustainability of these. Bolstered by CGIAR's traditional engagement with national agricultural research systems, CGIAR's interventions are found to be relevant and well aligned with national development goals and objectives; this could be enhanced through more strategic approaches to developing national systems' capacity. CGIAR's contributions to positive benefits for ultimate beneficiaries are unsatisfactory. This is because, in interventions and evaluations, consultation with small-scale, low-input farmers, both women and men, and with other beneficiary communities and alignment with their perspectives are very limited.

CGIAR is broadly resource efficient and supports the timely achievement of results. However, the persistent transaction and administration costs associated with the Research Centers and portfolio architectures have prompted CGIAR to seek to continue to improve efficiency.

A sample of more than 15 reports was reviewed for assessment. They included 2 independent synthesis reports of 20 CRP evaluations; 7 Independent Evaluation Arrangement (IEA) evaluations of CGIAR research programmes; 3 IEA evaluations on gender, partnership and capacity development respectively; the Standing Panel on Impact Assessment (SPIA) synthesis report of 25 impact assessment studies; the CGIAR Annual Performance Report 2017; as well as a selection of CRP annual reports.

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results CGIAR is achieving against the targets it sets and its expectations on making a difference.

Overall, CGIAR is satisfactorily meeting its development objectives and contributing to cross-cutting goals, although there is variability in the evidence base. The evidence reviewed shows that CGIAR is making positive progress to promote its target development outcomes in local and global settings. The variable evidence base for results arises from two factors. First, the global nature of CGIAR's development outcomes, long timeframes and complex pathways associated with agricultural research for development require specialised, large-scale and resource-intensive impact assessment and technology adoption studies. The current impact assessment portfolio offers limited coverage of long-term development outcomes, although coverage is expected to expand. Second, CGIAR's organisational architecture

has led to a mosaic approach to evaluation and impact assessment. Efforts have been led by different entities within the CGIAR System, each with a different scope and scale — Research Centers, CRPs, and two separate system-level evaluation and impact assessment functions. Measures and investment to improve the coverage and consistency of the evidence base are in place, along with quality data and methods for tracking development outcomes and for increasing the number of studies, although these initiatives are at an early stage.

CGIAR is making a highly satisfactory contribution to tackling climate change but has room to strengthen its impact on environmental sustainability. CGIAR's engagement is led through the CCAFS research programme with evaluative evidence indicating a strong contribution to global, regional and national efforts. The Annual Performance Report 2017 notes the "instrumental" role of research and engagement — by CCAFS, the CGIAR Research Program on Water, Land and Ecosystems and the CGIAR Research Program on Forests, Trees and Agroforestry — in the decisions by the 23rd Conference of the Parties to the United Nations Framework Convention on Climate Change (COP23) that will result in a greater focus on agriculture in climate action plans. A good range of research in the CGIAR portfolios, particularly in forestry, has important potential to promote environmental outcomes. However, the evidence on biodiversity and environmental sustainability suggests that this potential is not yet being optimised, nor is it being measured through impact assessment or evaluation.

In general, CGIAR interventions are making unsatisfactory contributions to the expected positive benefits for ultimate beneficiaries, although evidence is mixed. CGIAR's direct beneficiary groups are conceptualised as poor farming households, including both women and men. CGIAR's high-level outcomes relating to reduced poverty and improved food security are intended to benefit low-income families at scale across the broader populations in low- and middle-income countries. The impact assessment synthesis highlights that an (evidence-based) estimated 3.61 million farm households were using CGIAR research-related innovations and that 4.11 million hectares of crop or grassland area were under CGIAR research-related or CGIAR-selected technologies in 2015-16. However, CRP-level results and evaluations tend to lack specific reference to ultimate beneficiaries. This means that the orientation of impact reporting at the CRP level is somewhat limited, especially as poverty impacts are affected by long lag periods in terms of uptake of agricultural technologies and modern seed varieties . As a result of these challenges, expected positive benefits for beneficiary communities and individuals are difficult to track and evidence.

CGIAR is making a satisfactory contribution to national development policies and programmes. Both the Annual Performance Report 2017 and the SPIA note on policy outcomes (2006-14) highlight numerous examples of the policies, legal instruments and investments to which CGIAR has contributed. These include, in Ethiopia, the development of a Livestock Master Plan — adopted by the Ethiopian Government and then used by various actors, including the World Bank — which should ultimately impact more than 2.3 million of the country's 11 million livestock-keeping households. In India, CGIAR research informed the investment of USD 21.5 billion by the Indian Government to provide 2.75 million grid-connected solar irrigation pumps to farmers and farmer cooperatives. Evaluative evidence indicates satisfactory performance overall. However, evaluations also note that CGIAR could do more to leverage its advantages of in-country presence, of in-depth knowledge of national food and ecosystems, and of long-term links to national institutions in order to contribute to national development policies and programmes and enhance sustainability of measures adopted.

CGIAR is performing satisfactorily on partnerships and capacity building with national-level entities, but there is a recognition within CGIAR of the need to both expand the range of approaches taken in partnerships and capacity building and to take greater account of cross-cutting issues, risk management and longer-term sustainability. Evaluative evidence highlights that CGIAR has provided national government agencies, programmes and communities with analytical tools and the capacity to apply them, as well as contributing to institutional capacity by establishing new entities and infrastructure and providing policy advice. CGIAR collaborates particularly well with the National Agricultural Research Systems (NARS). CGIAR also has a highly regarded knowledge base on

global agricultural research systems and their capacity needs. However, there is no CGIAR-wide strategic capacity development framework to guide a consistent approach across the system, nor is the knowledge base drawn on systematically. Therefore, capacity building interventions are limited to training individuals and providing research opportunities, rather than strengthening strategic research infrastructures and systems and other innovative approaches. This risks atomising efforts to build and sustain the capacity of national partners and others.

CGIAR's overall performance regarding human rights is unsatisfactory, with limited evidence and mixed positive and negative outcomes. CGIAR has no dedicated policy statement on human rights, although CGIAR Research Centers that host genebanks have legal treaty obligations within the International Treaty on Plant Genetic Resources for Food and Agriculture. These commit the Research Centers to protect and promote farmers' rights within their approach to conserving and making available a global resource of germplasm from crops and trees (see KPI 2 for more information). The Intellectual Asset Management Principles refer specifically to the treaty and farmers' rights. CGIAR's other contribution to farmers' rights is through its Systemwide Program on Collective Action and Property Rights (CAPRi) and the protection of farmers' rights.

Important results in this area include CAPRi support for the acquisition of common property rights in India and a new inland fisheries policy by the Government of Cambodia which recognises the rights of multiple interests, including local fishing communities. However, although the importance of human rights issues such as land ownership is considered in applied research, evaluations suggest that CGIAR's proactive action to promote and protect farmers' rights could be strengthened and promoted at all levels of the system.

CGIAR interventions are unsatisfactory in terms of contributing to improved gender equality and the empowerment of women, a weakness which has been recognised and is being addressed through an updated gender strategy. CGIAR has established a significant body of work on gender equality and women's empowerment and gender initiatives are present in programmes and workplaces. However, these represent isolated pockets of good practice that have not yet translated into tangible evidence of gender outcomes. Positive examples include successful initiatives to involve women in field research activities, such as participatory breeding and participatory technology development and the integration of gender into assessments of research needs and the design of capacity building initiatives. There are a few examples of gender disaggregated data being collected in programmes. However, the synthesis evaluations of 2017 found low or mixed quality of gender research to understand social and cultural systemic barriers to women's equitable access to opportunities and resources, or the impacts of technology adoption or policy interventions on women (with the exception of the CGIAR Research Program on Agriculture for Nutrition and Health). Impact assessment studies also found very little attention being paid to gender and other relevant socioeconomic dimensions. Even when gender disaggregated data is being collected, it is not clear that these are being used in research and analysis. These findings highlighted a potential risk that CGIAR may be mainstreaming a superficial "gender fix", rather than promoting a fully integrated, evidence-informed gender analytical lens across CGIAR's research and workplaces. The weak performance on gender has been recognised by the System Council and System Management entities, and a revamped gender strategy is currently starting implementation, with progress discussed in KPI 2.

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.

This KPI focuses on the relevance of CGIAR's engagement given the needs and priorities of its partner countries and its results focus.

CGIAR's interventions are found to be well aligned with national development goals and objectives, although the extent of alignment with the needs of beneficiaries is limited. Most CRPs have used demand-side approaches to engage national partners, resulting in interventions that are well-aligned and supported by national partners.

However, there is evidence to suggest that many national-level consultations miss out explicit consultation with low-input farmers, both women and men, and other intended beneficiary communities, so their needs and priorities are not sufficiently well-understood or addressed in interventions.

Evidence indicates CGIAR is performing satisfactorily in terms of working coherently and effectively with other development actors, at national and international levels, with scope for strengthening the strategic selection of partners. Coherence with development partners is critical for CGIAR's effective scaling out of research and technology into use by actors to promote development outcomes. National-level examples include partnerships with the NARS and development projects led by non-governmental organisations, while across the assessed evidence there are several strong examples of CGIAR engagement as part of broad international systems, such as Genebanks' co-ordination and strengthening of CGIAR's Genebank Research Centers under the auspices of the FAO and the International Treaty on Plant Genetic Resources for Food and Agriculture. There is a growing engagement with the private sector, which represented 28% of partnerships in 2017. However, evaluations note that many existing partnerships are based on legacy relationships and have recommended a more systematic and strategic approach to partner selection. The potential for greater coherence across Research Centers and CRPs within the CGIAR System is also noted.

KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which CGIAR is meeting its own aims and standards on delivering results efficiently.

Evaluative and performance reporting indicate that CGIAR is broadly resource efficient and supports the timely achievement of results, although persistent transaction and administration costs associated with the Research Centers and portfolio architectures suggest there is further scope for efficiencies to be made. The Annual Performance Report 2017 indicates 85% of CGIAR expenditure is related to research (led by CGIAR and its partners) and 15% to general, administration and system-level costs. The report also notes that general and administrative costs (including system-level costs) declined by about 1% of the total expenditure from 2016 to 2017. The CRP structure appears to have enabled efficiencies through common protocols and tools, although transaction costs in terms of coordination and reporting persist. Nevertheless, CGIAR has consistently demonstrated a willingness to explore opportunities for greater value and cost efficiencies, with a range of initiatives underway such as outsourcing and the adoption of management information systems. Looking to the future, an increased focus on measuring efficiency is expected, including more systematic annual performance reporting.

Evidence on the overall timeliness of programme implementation and results is limited, although management reporting indicates that CGIAR interventions are broadly on track. The Annual Performance Report 2017, which presents overall progress for each CRP achievement against each planned milestone, notes that agricultural research for development necessarily involves long timelines for results to emerge. It also indicates that 71% of planned milestones are complete, 22% extended, 6% partially complete and 1% cancelled.

KPI 12: Results are sustainable.

This KPI looks at the degree to which CGIAR successfully delivers results that are sustainable in the longer term.

Overall, the benefits of CGIAR interventions are assessed as likely to continue after project or programme completion, although CGIAR highly depends on development partners to promote outcomes and impact at scale. Synthesis evidence from 25 long-term impact assessment studies notes that there is reliable evidence of long-term impact. These include five large-scale adoption studies across six country contexts that provided new evidence of 3.61 million farm households and 4.11 million hectares of crop or grassland area under technologies related to CGIAR

research. However, evaluations note the dependence of CGIAR on development partners for achieving outcomes and sustaining them, highlighting the strategic importance of choosing the right partners and working alongside them to promote development outcomes and impact in the long-term.

An area of positive performance is CGIAR's contribution to the enabling environment for development. CGIAR enhances agricultural knowledge transfer through large-scale, global access systems, though there is scope for continued strengthening. Evaluations note CGIAR's comparative advantage in generating and making publicly available research-based data for a wide range of countries and agro-ecologies. This advantage is underpinned by its 2013 adoption of a "CGIAR Open Access and Data Management Policy" and by the recent development of a prototype access system. The system was created with the support of the Platform for Big Data in Agriculture and enables a "one-stop" search across 30 or so Center data and publications repositories. This tool, the Global Agricultural Research Data Innovation & Acceleration Network (GARDIAN), enabled access to about 50 000 publications and 1 800 data sets by the end of 2017, an increase of about 15% for data sets from the previous year. Further GARDIAN features were also planned for 2018. Another example can be seen in CGIAR genebanks, representing the largest and most widely used collections of crop diversity in the world. The recent adoption of new management systems — Genesys (a global portal for plant genetic resources information) and GRIN-Global (a genebank information management system) — has improved user access. In 2017, these enabled CGIAR genebanks to distribute 109 339 germplasm samples by to users, with a total of 61 376 samples distributed outside CGIAR in 95 countries.

Finally, CGIAR is contributing to improved global data and data collection methods in SDG-related areas which are often complex to measure. Global data is incomplete in many areas, and CGIAR is one of the main contributors to improved data to enable the international tracking of nutrition, water use, adoption of crop varieties and innovations, forest cover, and climate change.

An area of weaker evidence on sustainability is partnerships and capacity development, where CGIAR could adopt more strategic approaches to capacity development to promote greater effectiveness and sustainability. There is little evidence of cumulative contributions to institutional and/or community capacity made by CGIAR or of the extent to which this is sustainable, although evaluations are generally positive about individual interventions. Evaluations note that sustainability may be constrained by the use of short-term funding, despite the successful use of "sunset" and transition strategies in many initiatives. This stands in contrast to principles for effective and sustainable capacity development that calls for planning and implementing capacity development as a long-term, locally-owned process. Synthesis evaluations also highlight the positive influence of the capacity development Community of Practice in moving towards a more strategic approach by creating a Capacity Development Framework.

CGIAR's consideration of sustainability has improved since the 2016 evaluations and is likely to be further strengthened. Since 2017, information on policy uptake and uptake of technologies by boundary partners (e.g. seed companies, national extension systems) are systematically collected in Outcome-Impact Case Reports and the Policies indicator of the monitoring system. These both have "levels of maturity", so uptake can be tracked from (1) early stages to (2) approved policy and/or adoption by farmers at moderate scale to (3) adoption and impact at scale. Obviously not every innovation from research and development can be sustained, but this approach helps to track and evaluate sustainability and contributing factors. Improved outcome reporting is also starting to feed into the planning of future impact studies, as all claims must be evidenced. Improved outcome reporting along impact pathways can support a fuller assessment of the sustainability of CGIAR interventions in the future.

3. OVERALL PERFORMANCE OF CGIAR

Chapter 3. Overall performance of CGIAR

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context. The journey of the organisation is then mapped against previous external assessments (where applicable) of CGIAR.

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

Is CGIAR future facing?

CGIAR has a clear understanding of future needs and demands for agricultural science and innovation, as shown in the Strategy and Results Framework (SRF) and in the CGIAR Research Programs and Platforms (CRPs). Work continues to develop towards the Intermediate Development Outcomes (IDOs) and the sub-IDOs, in line with the Sustainable Development Goals and to ensure that CGIAR's contributions can be effectively assessed. The current round of the CRPs is coming to an end, and preparations for the next round are already underway, building on the work on the theories of change for the current CRPs and on the experience of implementation. It should, however, be noted that one significant gap in these preparations is the absence of independent, external evaluations of the current CRPs, something that was valued by the Research Centers previously. Nevertheless, the Global Integrating Programmes, such as the CGIAR Research Program on Agriculture for Nutrition and Health and the CGIAR Research Program on Climate Change, Agriculture and Food Security, are a clear demonstration of CGIAR's crucial role in contributing to reducing poverty, increasing food and nutrition security, and improving natural resources and ecosystems services. Similarly, the Research Support Platforms, such as the Genebank Platform, provide the basis for a continuing role in this contribution.

The changes in CGIAR, with the formation of the CGIAR System and with the ongoing reform process outlined in the first of a cycle of four business plans, provide a solid and agreed foundation for ensuring that what is described as the global research partnership is fit to deliver against the SRF. The challenge that CGIAR faces in doing this is in taking all parts of the partnership — the Research Centers, the various parts of a complex System and the Funders – forward together, in what is an ambitious continued reform process. Some tensions already exist in different views on the need for further, more radical reforms, for example on the governance model, on the need to rationalise the current Research Centers, on different designs for programmes and on the longer-term, flexible and more consistent financial resources. The immediate challenge for CGIAR is to deliver and stabilise the current round of reform in a timely and effective manner.

Is CGIAR making best use of what it has?

The CGIAR global research partnership provides a unique international resource for the interface between research and innovation and those who need it most in a rapidly changing environment. At its best, CGIAR is capable of utilising this resource to great effect. It provides the basis to underpin future research efforts, through long-term crop, animal, forests and ecosystems research programmes and research support platforms. The global integrating programmes bring together CGIAR's research as a whole to respond to key crisis areas, including climate change and the management of important natural resources. CGIAR's long-term research has been known to provide large-scale results, and its programmes have shown they can respond rapidly. An example of the former is reported in the Annual Performance Report 2017: 3.2 million farming households used bio-fortified planting material, bringing the

total estimated number of farming households benefiting from bio-fortified crops globally to 10 million. An example of CGIAR's responsiveness is from the Maize Programme, which has been able to respond within only three years to the spread of diseases affecting maize in East Africa as a consequence of climate change.

However, CGIAR is a research system partnership, consisting of 15 independent and autonomous Research Centers and a System Organisation, as well as its governance entities. With this highly devolved organisational architecture, inconsistencies in capacities and progress arise, and the process of change can be slow. There has, for example, been limited progress in making use of economies of scale across CGIAR, with replication of the necessary systems and mechanisms — such as human and financial resource management, accountability and audit functions, and monitoring and reporting systems — across the 15 Research Centers. With the variations in the sizes and capacities of these Research Centers, there are consequently variations in the ways in which these systems and mechanisms have developed and in their effective use. Although common systems and standards could bring more consistency and effectiveness, these have to be carefully negotiated across a complex set of stakeholders, hence important reforms and the introduction of new systems and processes take considerable time. In some cases, Research Centers are struggling in what has become a highly competitive funding environment, where funding for organisational management-related activities is scarce. This creates a negative cycle: on the one hand, ongoing reform is needed in order to build Funders' trust in the continued effectiveness of CGIAR, while on the other, there is a need for longer-term and more consistent funding support in order to carry out the necessary reforms.

Is CGIAR a well-oiled machine?

Parts of the CGIAR research partnership have been able to operate extremely effectively, and others, as is indicated above, have not been able to respond as well. Some Research Centers and CRPs have been able to make use of relatively limited financial resources coming through Windows 1 and 2[12] strategically and to good effect, developing and implementing research programmes that have a measurable impact, responding to more rapid changes brought about by climate change and anticipating longer-term challenges. The CGIAR System Management Office has supported the development of these effective approaches and has worked across the CGIAR System to map out a path towards greater effectiveness in, for example, developing the programme performance management standards.

However, there remain significant inconsistencies in the capacities and in the ability to change across CGIAR. This is in part due to differences in capacities and resources in Research Centers, as mentioned above. It is also due to variations in the capacities and resources brought to bear in the CGIAR System Organisation. For example, while considerable progress has already been made in developing reforms in the people management strategy, there are still issues to be resolved around ensuring the quality of data for assessing progress and in ensuring that performance management systems are effectively harmonised, as well as uncertainty around the ongoing resourcing (budget and staffing) of the new reporting systems that have been developed and negotiated.

Is CGIAR making a difference?

CGIAR produced its first Annual Performance Report in 2018 (based on 2017 data) and a set of high quality independent, external evaluations between 2015 and 2017, which highlight a wide range of areas where progress is being made and show evidence of impact. These reports build on decades of research and on a detailed understanding within CGIAR of the long and often complex path from research to results on the ground. CGIAR has taken great efforts to ensure that the reporting of impact is based on strong, validated evidence; the publication of the Annual Performance Report 2018 was delayed while efforts were made to review and strengthen the quality of the performance data produced by the new systems and processes.

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12. Within the CGIAR Trust Fund, these are defined as contributions received from Funders for CRPs and System Organisation (funding Window 1) and contributions designated to specific CRPs (funding Window 2).

This is an example of where CGIAR has been playing catch-up in terms both of having the performance systems in place to be able to assess progress and of providing solid evidence for the difference that is being made. Work is underway on the performance systems and is progressing, in order to ensure that different systems at the Research Center level can provide data through a single, CGIAR-level system. CGIAR is also working on ensuring the quality of the data and evidence entered into the systems. At the same time, there are concerns about the changes being made to the evaluation function, as the previous Independent Evaluation Arrangement has been replaced with an, as yet untested, evaluation work stream as part of the Advisory Services Shared Secretariat.

3.2. PERFORMANCE JOURNEY

CGIAR has never been through a MOPAN assessment before, and there are no recent external assessments that can be used to identify earlier strengths and weaknesses. The most recent relevant external assessment is the Australian Multilateral Assessment, published in March 2012. While that assessment was carried out well before the period of

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Box 3.1. Main strengths and areas for improvement from previous external assessments

Strengths from the 2012 Australian Multilateral Assessment

- CGIAR delivers tangible results towards global efforts to secure food supply in a way that meets food security, nutrition and health, environmental sustainability, and poverty reduction objectives.

- CGIAR has a distinctive role in mobilising and coordinating finance on a large scale for international research on agriculture, forestry and fisheries for development.

- Promoting knowledge and innovation is at the core of CGIAR's business as leaders in agricultural research and the results are seen as highly valuable by stakeholders in relation to food security.

- In April this year [2012] CGIAR's members adopted a strategy and results framework which has coherent linkages of research plans to four broad development outcomes. A series of CGIAR research programs have been approved (now 14) or are being designed (one more) which will drive the future direction of CGIAR research.

- The benefits of valuable innovations from the CGIAR network are well documented, and in aggregate greatly exceed the costs of investments through CGIAR.

- CGIAR Research Centers have extensive partnership arrangements adapted to their functions.

Areas for improvement from the 2012 Australian Multilateral Assessment

- There is still much to be done to reduce duplication and improve prioritisation in the research programs of the CGIAR Research Centers. This will depend on whether its governing bodies develop more say in the programming of the Research Centers and the allocation of donors' funding.

- The reforms agreed by donors and stakeholders are wide-ranging and promising, but there is still much to be done in implementing them. Therefore, it is important that momentum is maintained through to completion.

- Concerns have been raised by donors regarding the high levels of administrative overhead costs. But it is anticipated that after the establishment costs of the new program structures, administrative costs can be streamlined.

- CGIAR's transparency in allocating funds among its Research Centers and research programs is limited by its dependence for most of its funding on donor contributions which are restricted to a specific program or research centre — of total contributions in 2010, only 34 per cent was unearmarked — and by the difficulties of its governing bodies in setting priorities among the programs of the Research Centers.

the current assessment, it took place in the year the CGIAR Consortium of International Agricultural Research Centers (CGIAR Consortium) obtained international organisation status and makes reference to the initial stages of the CRPs. In addition, the Australian assessment used a methodology and criteria that have parallels with the MOPAN assessment, looking at the following: results and relevance; strategic management and performance; cost and value consciousness; partnership behaviour; and transparency and accountability. Box 3.1 presents strengths and areas for improvement of CGIAR – not specific to Australian aid interests — identified in the 2012 Australian Multilateral Assessment.

Boxes 3.2 and 3.3 present strengths and weaknesses identified in this 2019 assessment. They show that, overall, CGIAR has moved on significantly from 2012, while now facing new challenges as the reform process continues. This demonstrates that the considerable transformations that have taken place, from the CGIAR Consortium to the current CGIAR, have enabled major changes in the way in which CGIAR can deliver results.

Box 3.2. Main strengths identified in the MOPAN 2019 assessment

- The diversity and flexibility of the CGIAR System enable it to respond effectively to donor priorities, rapidly changing contexts and emerging development challenges.

- The Strategy and Results Framework, business plan and financial plan both have buy-in and provide stability, offering the potential to bring processes and systems together across CGIAR.

- The leadership in CGIAR's System Management Office and the instruments and systems that have been put in place are a shift towards professionalisation and provide the basis for a more transparent and responsive decision-making culture.

- The performance and results processes and systems, because they have been built up and tailored to varying needs across CGIAR, have buy-in and acceptance and have been used as designed across the system for the first year of reporting, delivering a strong performance-based product.

- The CRPs, both the programmes and platforms, have proved to be an effective concept and provide the basis for significant coverage and delivery from a results perspective.

- CGIAR's open intellectual assets and genetic materials are an important global resource, although there is a question of whether the CGIAR System is making enough of it.

Box 3.3. Main areas for improvement identified in the MOPAN 2019 assessment

- The diversity and flexibility of the CGIAR System is also a weakness, making decision-making and institutional change processes slow and difficult to achieve.

- CGIAR's complex governance and organisational architecture compound the weaknesses of the System, making even gradual or small-scale change unwieldy and costly to manage and rendering the pace of change uncertain.

- CGIAR and its Funders have yet to develop a consensus on how best the System, the reforms envisaged and the CRPs should be supported, with particular issues around necessary financial support to align vision and operational realities.

- There is a lack of consistency in focus and capacities across the CGIAR System and the Research Centers with regard to key capacities and services, such as human and financial resource management, accountability and audit, and monitoring, reporting and evaluation, with noted difficulties in agreeing and implementing common standards and improvement processes.

- The reformed evaluation function poses a risk to effectively implementing both corporate and decentralised evaluations to improve performance. The new design reduces the structural independence of the function and limits its ability to provide leadership across the System to support good quality, consistent and effective decentralised evaluations to inform evidence-based design of interventions.

- CGIAR's lack of a strategic position on partnerships and development of capacities means that approaches used are either narrowly focused or ad hoc, often preventing or limiting the spread of innovation.

- CGIAR's efforts on gender equality and women's empowerment represent isolated pockets of good practice, meaning that CGIAR may be mainstreaming a superficial "gender fix". This risk needs to be actively managed in the current System-wide efforts to integrate an evidence-informed gender analytical lens across CGIAR's research and workplaces.

ANNEXES
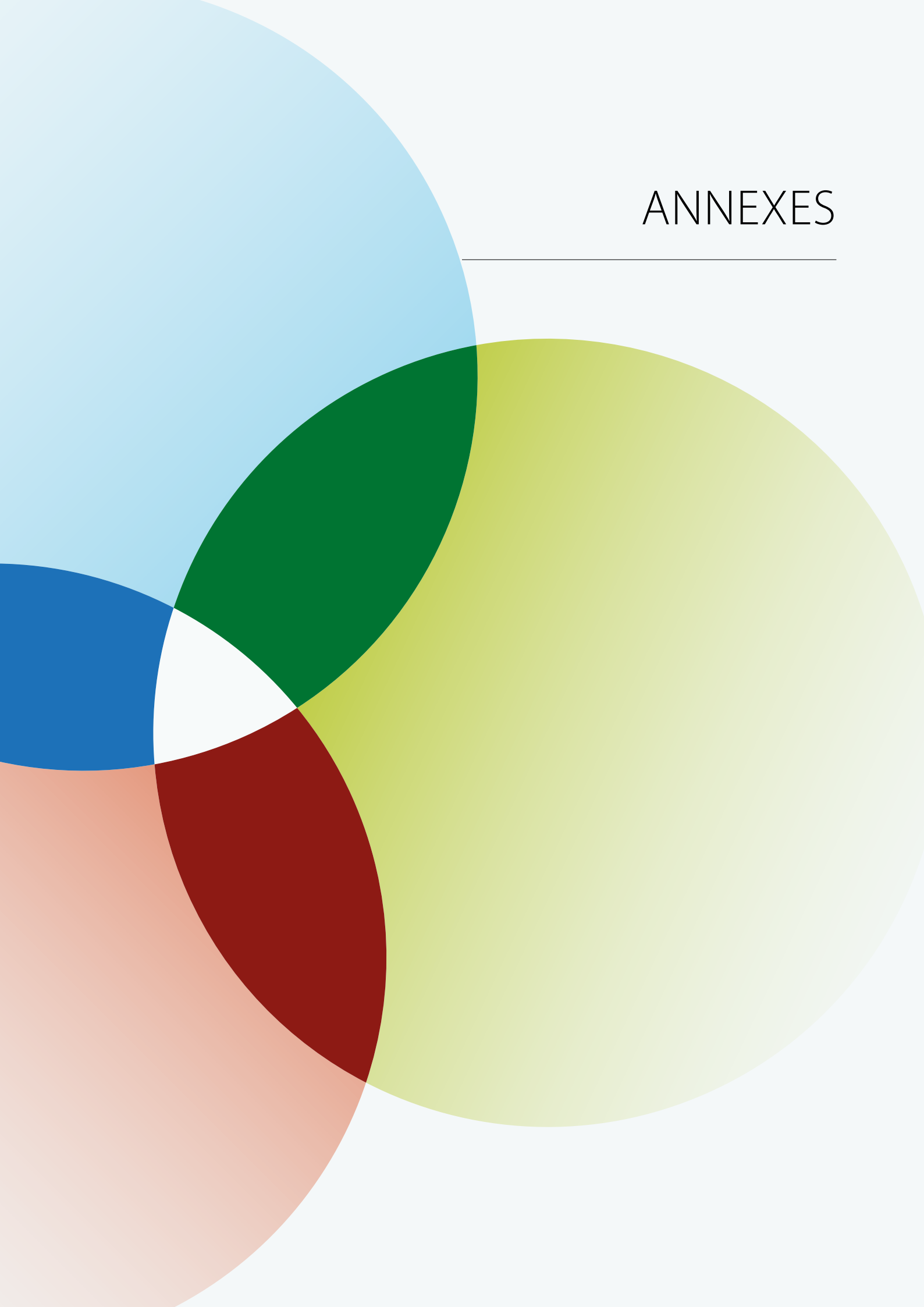
Annex 1. Performance ratings and evidence table

Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0* is described in the 2019 Methodology Manual. It draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). It uses a rating scale that has been adjusted from previous MOPAN assessments. Each rating, ranging from highly unsatisfactory to highly satisfactory, still represents the averaged numerical score attributed to each element, micro-indicator (MI), and key performance indicator (KPI). However, the threshold for each rating has been raised by 0.5 points compared to assessments prior to 2019.

In this assessment, in line with the 2019 Methodology Manual, each of the key performance indicators (KPIs) is rated according to the following rating scale:

3.51-4.00	**Highly satisfactory**
2.51-3.50	**Satisfactory**
1.51-2.50	**Unsatisfactory**
0.00-1.50	**Highly unsatisfactory**

Each of the 12 KPIs contains a number of micro-indicators (MIs), which vary in number. The KPI rating is calculated by taking the average of the ratings of its constituent MIs.

For **KPI 1-8,** the MIs are made up of elements representing international best practice. The number of elements also varies. The rating of MIs is calculated by taking the average of the constituent elements' scores. At element level, scores ranging from 0 to 4 are assigned, according to the extent to which an organisation implements the element. The following criteria frame the scores for elements:

4 = Element is fully implemented/implemented in all cases
3 = Element is substantially implemented/implemented in the majority of cases
2 = Element is partially implemented/implemented in some cases
1 = Element is present, but not implemented/implemented in zero cases
0 = Element is not present

For **KPIs 9-12,** the rating of MIs is based on thresholds defined in the methodology, rather than on elements.

A score of "N/E" means "no evidence" and indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily mean that the element is not present (which would result in a zero score).
Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

Strategic management

KPI 1: Organisational and financial framework

- 1.1 Long-term vision
- 1.2 Organisational architecture
- 1.3 Supports normative frameworks
- 1.4 Financial frameworks
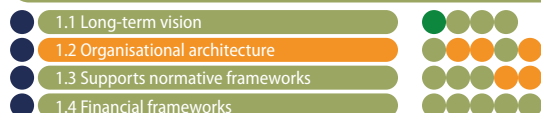
KPI 2: Structures for cross-cutting issues

- 2.1a Gender equality
- 2.1b Environment
- 2.1c Good governance
- 2.1d Human rights

Operational management

KPI 3: Relevance and agility

- 3.1 Resources aligned to functions
- 3.2 Resource mobilisation
- 3.3 Decentralised decision-making
- 3.4 Performance-based HR
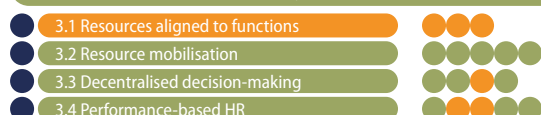
KPI 4: Cost-effective and transparent systems

- 4.1 Decision-making
- 4.2 Disbursement
- 4.3 Results-based budgeting
- 4.4 International audit standards
- 4.5 Control mechanisms
- 4.6 Anti-fraud procedures

Relationship management

KPI 5: Relevance and agility in partnership

- 5.1 Alignment
- 5.2 Context analysis
- 5.3 Capacity analysis
- 5.4 Risk management
- 5.5 Design includes cross-cutting
- 5.6 Design includes sustainability
- 5.7 Implementation speed
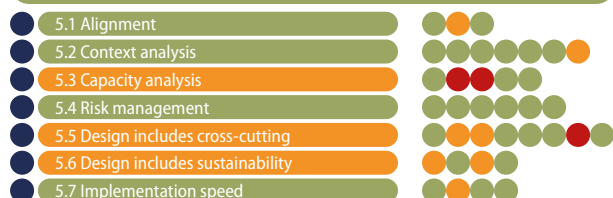
KPI 6: Partnerships and resources

- 6.1 Agility
- 6.2 Comparative advantage
- 6.3 Country systems
- 6.4 Synergies
- 6.5 Partner coordination
- 6.6 Information sharing
- 6.7 Accountability
- 6.8 Joint assessments
- 6.9 Knowledge deployment
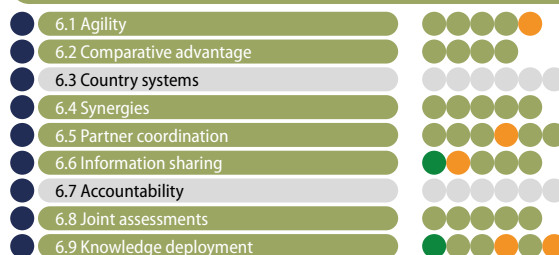
Performance management

KPI 7: Results focus

- 7.1 RBM applied
- 7.2 RBM in strategies
- 7.3 Evidence-based targets
- 7.4 Effective monitoring systems
- 7.5 Performance data applied

KPI 8: Evidence-based planning

- 8.1 Evaluation function
- 8.2 Evaluation coverage
- 8.3 Evaluation quality
- 8.4 Evidence-based design
- 8.5 Poor performance tracked
- 8.6 Follow-up systems
- 8.7 Uptake of lessons
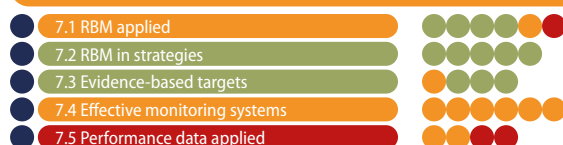
Results

KPI 9: Achievement of results

- 9.1 Results deemed attained
- 9.2 Benefits for target groups
- 9.3 Policy/capacity impact
- 9.4 Gender equity results
- 9.5 Environment results
- 9.6 Good governance results
- 9.7 Human rights results

KPI 10: Relevance to partners

- 10.1 Target groups
- 10.2 National objectives
- 10.3 Coherence
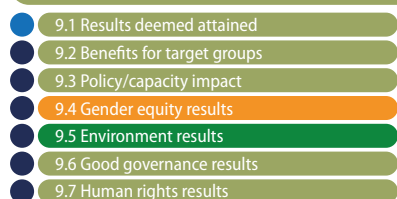
KPI 11: Results delivered efficiently

- 11.1 Cost efficiency
- 11.2 Timeliness

KPI 12: Sustainability of results
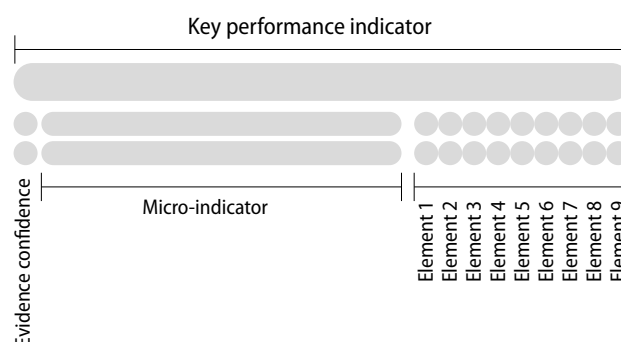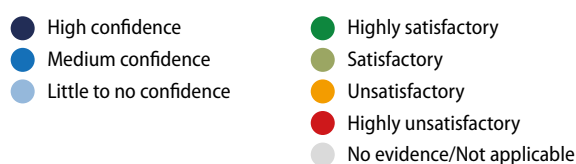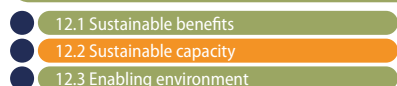
- 12.1 Sustainable benefits
- 12.2 Sustainable capacity
- 12.3 Enabling environment

Legend:

- High confidence
- Medium confidence
- Little to no confidence
- Highly satisfactory
- Satisfactory
- Unsatisfactory
- Highly unsatisfactory
- No evidence/Not applicable

Key performance indicator

Evidence confidence

Micro-indicator

Element 1
Element 2
Element 3
Element 4
Element 5
Element 6
Element 7
Element 8
Element 9

STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

KPI 1: The organisational architecture and financial framework enable mandate implementation and achievement of expected results	KPI score
Satisfactory	**2.81**

CGIAR has a Strategy and Results Framework (SRF) in place for 2016-30, has put in place the first business plan for 2019-21, with plans for three further, three-year business plans up to 2030, and has published a Research Financing Plan (2019-2021 FINPLAN) that brings together, in a single budget, all of the resources for the CGIAR Strategy. The SRF maps out CGIAR's contribution to the Sustainable Development Goals (SDGs), through addressing five global challenges and clearly sets out CGIAR's comparative advantage. The business plan further articulates the vision and mission of CGIAR around these contributions and establishes the ongoing reforms that are needed to make CGIAR fit for purpose. The financing plan aims for greater transparency around the allocation of resources and the challenges that CGIAR faces in working towards these longer-term objectives.

There are a number of recognised challenges in the implementation of this strategic plan and in the progress towards the achievement of expected results:

- Work is continuing to clarify the connection between what CGIAR delivers on the ground and the ambitious contribution to the SDGs envisaged. There is further work required to agree on CGIAR's comparative advantage. The first Performance Report produced for 2017 begins to set out what CGIAR has been able to achieve, with a recognition that more work is needed on the evidence base to continue to build confidence in achievements.

- Further work is underway and is required to make CGIAR an effective and focused system. While significant progress has been made in reforming CGIAR over the last decade, the first business plan highlights the future challenges of continued reform. Change continues, although there is some frustration among stakeholders both with the complex nature of decision-making in the partnership and with the pace of this change.

- Funding remains an issue where there is a need for a clear shared vision between CGIAR and its Funders. CGIAR has had to work hard to manage a complex and changing funding situation and has recently put in place online systems to increase the transparency of its finances. While there was initial optimism on the part of CGIAR for obtaining longer-term financial support and while the funding situation has stabilised over the last two to three years, there is still a need for a greater range of Funders to recognise the need for longer-term and more consistent funding of CGIAR as a whole.

MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.25**
Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision	4
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	3
Element 3: A strategic plan operationalises the vision, including defining intended results	3
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	3
MI 1.1 Analysis	**Source document**
CGIAR agreed and published a SRF for the period 2016-30, which defines the aspirations and strategic actions of the CGIAR System as a whole, with the 15 Research Centers working to deliver on the overall mission. Within this framework, there is a commitment to a cycle of four three-year business plans, with the first business plan for 2019-21 setting out the decisions and actions that need to be taken at the collective level, while reflecting that the implementation of actions set out in the plan will be most efficiently and effectively addressed through Center-level decision-making processes.	1, 2, 3

CGIAR agreed and published a SRF for the period 2016-30, which defines the aspirations and strategic actions of the CGIAR System as a whole, with the 15 Research Centers working to deliver on the overall mission. Within this framework, there is a commitment to a cycle of four three-year business plans, with the first business plan for 2019-21 setting out the decisions and actions that need to be taken at the collective level, while reflecting that the implementation of actions set out in the plan will be most efficiently and effectively addressed through Center-level decision-making processes. The business plan sets out a new articulation of CGIAR's vision and mission, focused on meeting the SDGs. The Plan outlines five global challenges and for each of these challenges clearly outlines the CGIAR System's comparative advantage in addressing these, specifically through diverse partnerships. There are, however, differing views on CGIAR's comparative advantage, with some stakeholders urging a greater focus on applied research. The survey shows a high proportion of respondents stating that CGIAR demonstrates a clarity of vision and a good understanding of comparative advantage (over 50% rate CGIAR as excellent or very good). The SRF is ambitious, setting out a significant contribution towards global targets and the SDGs. The overall targets are related to the work of CGIAR through: three goals, or SLOs; ten Intermediate Development Outcomes (IDOs), defined as aspirational targets, where CGIAR can make a direct contribution; and four key cross-cutting themes that are critical to attaining these goals and targets, including climate change and gender. While the plan is clearly set out, work is still ongoing within CGIAR on defining and collecting evidence for the IDOs. The business plan sets out for four three-year business plans over the life of the SRF 2016-2030, with an additional aim to prepare a longer-term plan up to 2030. The first CGIAR Annual Performance Report was produced for 2017, bringing together information on outputs and outcomes from research, including quantitative data on the nine common reporting indicators, and outlining the contributions towards the SRF targets and the SDGs. The report includes an update on progress on performance management, with a commitment that this area will be covered in more detail in future reports.	1, 2, 3

MI 1.1 Evidence confidence	**High confidence**

MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.40**
Element 1: The organisational architecture is congruent with the strategic plan	3
Element 2: The operating model supports implementation of the strategic plan	2
Element 3: The operating model is reviewed regularly to ensure continued relevance	2
Element 4: The operating model allows for strong co-operation across the organisation and with other agencies	3
Element 5: The operating model clearly delineates responsibilities for results	2

MI 1.2 Analysis	Source document
CGIAR has undergone a considerable process of reform and change over the last decade. In 2016, the CGIAR System was established. It comprises the 15 independent Research Centers, the Funders, the System Council, the CGIAR System Organisation, the Independent Science for Development Council, the Standing Panel on Impact Assessment, the CGIAR System Internal Audit Function and CGIAR Research. The new business plan sets out both the potential of the System and the outstanding challenges of continued reform. The CGIAR System Framework sets out the structure of the CGIAR System: the Research Centers as independent and autonomous organisations, focused on research for development; the Funders providing guidance and financial resources; governance and administration for the System Organisation through the System Management Board and the System Management Office, respectively; with advice from the Independent Science for Development Council, Internal Audit Function and the Standing Panel on Impact Assessment. The business plan sets out a range of actions, which are aimed at creating a more efficient, focused and less fragmented System. There is a clear commitment in the business plan to improving performance management, through a combination of careful evaluation of the past programmes and developing approaches to assure that current research management systems are designed, positioned and managed to deliver impacts as effectively and efficiently as possible, all aimed at driving improvements over time. These processes are still at the early stages of their development, and there are considerable concerns about the time that reform processes have taken and the need to keep a complex group of stakeholders together in the ongoing reforms. The Evaluation of Partnerships concluded that the CRPs (CGIAR Research Programs and Platforms) created closer relationships between Research Centers, resulting from the need to plan programmes together, share funding and report jointly. In addition, partnerships, both within the System and outside, are central to the way in which CGIAR works, and their centrality is set out strongly in the SRF and business plan. It is, however, generally agreed that there is a need to go further to encourage greater co-operation across the CGIAR System. The CGIAR SRF sets out an overview of responsibilities for results, with the basis in the formation of the CGIAR System under one unified governance structure providing a framework for the delivery of results. The aim of the round of governance reforms over 2016 and 2017 has been to deliver improved co-ordination, accountability and transparency in decision-making throughout the CGIAR System as a whole. This statement in the SRF comes with the caveat that this will also require an agreed and sustainable funding envelope to support the portfolio of CRPs. While some of this funding has been provided, the need for significant continued resource mobilisation by individual Research Centers undermines co-operation and the focus of the System as a whole.	1, 2, 3, 4, 5
MI 1.2 Evidence confidence	High confidence

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.60**
Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	3
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	2
Element 5: Progress on implementation on an aggregated level is published at least annually	2
MI 1.3 Analysis	**Source document**
The SRF sets out how the CGIAR System will contribute directly to the achievement of the SDGs outlined by the United Nations, in particular to reduce poverty, to improve food and nutrition security for health, and to improve natural resources systems and ecosystems services. The business plan further develops this vision, setting out a role in meeting the SDGs and the global challenges of poverty, hunger and environmental degradation. This is, however, still a work in progress._x000D_The SRF outlines that the System Level Outcomes (SLOs) are the higher-level goals for the CGIAR System aligned with international development imperatives, specifically the SDGs, contributing strongly to SDGs 1, 2, 3, 5, 6, 13 and 15 and moderately to SDGs 8, 10, 12, 16 and 17. The SRF states its aim that the IDOs and sub-IDOs will be adopted or adjusted by the CGIAR research program, with targets at the sub-IDO level to be aligned with the Results Framework._x000D_The first Annual Performance Report, using a standard reporting format and providing quantitative reporting on the full set of common reporting indicators, was produced for 2017 and published in 2018. The 2018 report was in preparation during 2019, with the aim to be published before the System Council meeting in November 2019.	1, 2, 3
MI 1.3 Evidence confidence	**High confidence**

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3
Element 2: A single integrated budgetary framework ensures transparency	3
Element 3: The financial framework is reviewed regularly by the governing bodies	3
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	3
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	3
MI 1.4 Analysis	**Source document**
There was optimism when the CRPs were first launched that Funders would provide a greater proportion of funding that CGIAR could use flexibly. After an initial period where this optimism was realised, Funders have increasingly resorted to more bilateral funding, through the Research Centers. Throughout these changes, CGIAR has worked hard to ensure that the main priority areas, primarily the CRPs, have received adequate funding. Efforts are now being undertaken to make the funding and allocation processes more transparent. As a companion document to the business plan, the 2019-2021 CGIAR Research Financing Plan (2019-2021 FINPLAN) aims to bring together, in a single budget, all of the resources for the CGIAR Strategy. These are complemented by the CGIAR Trust Fund dashboards, available online, which should ensure greater transparency. Following the September 2016 approval of the CGIAR Research Portfolio 2017-2021 by the System Council, the portfolio was launched in January 2017. The CGIAR Financial Report for 2017 was produced by the System Management Office and presented to the System Council and was published again in 2018 for review by the System Council. CGIAR through the Trust Fund has put in place a number of means to designate resources to one or more of three System funding Windows: Window 1 - Contributions are received from Funders without restriction; Window 2 - Contributions are designated by Funders to specific CRPs; and, Window 3 - Contributions are allocated to specific Research Centers by Funders. In the principles set out in the financing plan it is stated that: Funders may allocate Window 2 funding to specific Flagships within CRPs. In both the business plan and the financing plan, it is further noted: "Any Window 2 funds received in 2019 for a specific CRP or Platform that are more than the above allocations will be considered additional funds available for use by the CRP/Platform and will not result in a downwards adjustment of the planned allocation of Window 1 funds."	2, 6, 7
MI 1.4 Evidence confidence	**High confidence**

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels	KPI score
Unsatisfactory	**2.13**

Structures and mechanisms to support cross-cutting issues are quite fragmented within CGIAR, leading to slow progress on their integration, with the exception of environmental sustainability and climate change. Integrating a focus on gender equality and empowerment of women has been part of the CGIAR strategy since 2011, but there is widespread recognition and frustration within CGIAR that integration of gender issues into CGIAR's science and workplaces has been partial and slow. Nevertheless, a high proportion of survey respondents rated CGIAR's performance on gender as excellent or very good (over 45%). Since 2017, gender has been re-prioritised in the new System-level business plan through the development of a new gender and inclusion policy and people management plan, as well as through an injection of dedicated funding provided by donors to elevate a new Gender Platform within the CGIAR architecture. The Gender Platform is intended to provide leadership, expertise and resources across the System to better prioritise and integrate gender equality issues across CGIAR's research. However, these measures are still in development, with implementation due to start in early 2020.

Environmental sustainability and climate change is a core focus of CGIAR's research and substantially integrated into System-level strategies, Research Centers and research programmes. Although there is no dedicated policy statement on climate, CGIAR's commitment to environmental sustainability and climate change is explicitly expressed in various strategic documents, the policies are widely implemented and the accountability systems are comprehensive. Substantial climate change leadership, expertise and resources are mobilised across the System by the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS), led by the International Center for Tropical Agriculture, which is a collaboration among all 15 CGIAR Research Centers and co-ordinates with the other CGIAR Research Programs to integrate climate change. A high proportion of survey respondents rated CGIAR's performance on environmental sustainability as excellent or very good (just short of 50%). However, more could be done to integrate climate change more consistently and strategically into the design of interventions, through expert advice and capacity building.

The definition of good governance used here focuses principally on the approach that CGIAR takes to partnerships, particularly at the national level including government agricultural research systems, and on capacity building of these partners. Working in partnerships and building capacity are integral to promoting CGIAR's development outcomes at scale. A clear policy and strong accountability systems track a high volume of partnerships along the phases of the impact pathway. However, variability is noted in the strategic rationale and effectiveness of partnership strategies at CRP level. A further challenge is that financial and human resources are noted to be suboptimal for a more strategic, effective and sustainable approach. This is balanced by the concentration of resources and expertise in the CGIAR Research Program on Policies, Institutions, and Markets (PIM) directed towards the institutional policy and regulatory environment, which is the other aspect of good governance addressed by CGIAR. (The results of these efforts are discussed in KPI 9.6.)

CGIAR does not work explicitly on human rights, rather it is committed to protecting and promoting farmers' rights, aligning with the System's over-arching strategic commitment to the interests of poor farmers, both men and women. There was only a limited proportion of survey respondents who rated CGIAR's performance on human rights as excellent or very good (only around a quarter). There is no explicit policy; however, CGIAR Research Centers that host genebanks have legal treaty obligations within the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) to protect and promote farmers' rights within their approach to conserving and making available a global resource of germplasm from crops and trees. These obligations are further embedded within the System-wide Principles on Management of Intellectual Assets. This has an implementation plan but no accountability systems to track system-wide efforts on farmers' rights. The Genebank Platform provides leadership, advice and guidance to Research Centers on farmers' rights, but there are few other resources or development of capacity dedicated to ensuring a consistent approach.

MI 2.1 Corporate/sectoral and country strategies to respond to and/or reflect the intended results of normative frameworks for cross-cutting issues	
MI 2.1a: Gender equality and the empowerment of women	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	2
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	3
Element 4: Gender screening checklists or similar tools used for all new Interventions	1
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	2
Element 6: Capacity development of staff on gender is underway or has been conducted	1
MI 2.1a Analysis	**Source document**
The first Consortium Level Gender Strategy (CLGS) was adopted by the Consortium Board in September 2011, with two pillars: gender in CGIAR research and gender and diversity in the CGIAR workplace. However, the 2017 independent Gender Evaluation found that, overall, the CLGS did not provide a clear accountability framework or road map for gender in CGIAR Research and in the workplace and called for an updated gender framework. The new business plan's prioritisation of gender policies effectively responds to this recommendation, although work is still in development. Documents and interviews suggest that CGIAR Research Centers and CRPs have gender frameworks in place, although these vary in scope and degree of implementation. A high proportion of survey respondents rated CGIAR's performance on gender as excellent or very good (over 45%). Gender equality indicators are integrated into the CGIAR SRF, which includes an IDO and set of three sub-IDOs as the basis for accountability. Gender is further set out as one of eight research priorities. There are additional gender specific targets under two of the SLOs on poverty and food and nutrition security. However, these indicators are at an outcome level and do not allow close tracking of how gender concerns are being integrated into the design and implementation of research and human resources policies. There is an accountability system in place, which is broadly implemented, but it is fragmented and so tends to track gender-related projects and initiatives rather than progress towards gender integration. Data on the IDOs and sub-IDOS reported by CRPs are disaggregated by gender, while the CGIAR Annual Performance Report for 2017 includes a section on Integrating Gender and Equity into CGIAR Research for Development. Interviews suggest that the gender accountability system does not work consistently, hence the renewed focus on it. Evidence from interviews expressed an expectation that there will be more regular quality data and progress reporting on gender in the future, as gender reporting is also one of the new performance management standards being implemented in 2019-21. There are no gender screening checklists or similar tools for new interventions. Gender is required to be included in the annual research programme Plans of Work and Budget (POWBs), but interviews suggest that this is inconsistent. A number of Research Centers have gender focal points, while on the programme side, expertise is mobilised via the CGIAR Collaborative Platform for Gender Research. The Platform serves a wider community of researchers integrating gender analysis into	1, 3, 8, 9, 10, 12

their research and of those who are interested in collaborating on gender research, methods, tools and knowledge. Currently, resources available to address gender are sub-optimal, as noted in the 2017 Gender Evaluation. In the research programmes, Phase 1 of the CRPs saw a small amount of funding dedicated to gender research, but this was not a feature of Phase 2 CRPs. Currently, gender expertise and funding is channelled through the Collaborative Platform for Gender Research, which is now in the process of being elevated to a stand-alone strategic platform with considerable funding. The Gender Platform will have an enhanced ability to receive and manage larger flows of resources across the System, so the situation should improve in the future, from early 2020. Capacity development of staff in gender issues has not been implemented systematically or strategically in CGIAR. The Evaluation of Gender in CGIAR (2017) recommended a comprehensive system-wide training programme on gender and diversity, which was not supported by the management response and was left to Research Centers to manage. Interviews suggest that there has been variability on how Research Centers have addressed this.	1, 3, 8, 9, 10, 12

MI 2.1a Evidence confidence	High confidence

MI 2.1b: Environmental Sustainability and climate change	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.67**
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	4
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	4
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	3
Element 4: Environmental screening checklists / impact assessments used for all new Interventions	1
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	3
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	1

MI 2.1b Analysis	Source document
There is no stand-alone policy on environment and climate change, but CGIAR's commitment to environmental sustainability and climate change is explicitly expressed in the CGIAR SRF and other strategic documents, and it is widely implemented across the System. Implementation efforts are integrated and co-ordinated by the cross-cutting CCAFS. A collaboration between all 15 Research Centers, CCAFS seeks to address the increasing challenge of global warming and declining food security on agricultural practices, policies and measures through strategic, broad-based global partnerships. A high proportion of survey respondents rated CGIAR's performance on environmental sustainability as excellent or very good (just short of 50%). There is no stand-alone policy on environment and climate change, but CGIAR's commitment to environmental sustainability and climate change is explicitly expressed in the CGIAR SRF and other strategic documents, and it is widely implemented across the System. Implementation efforts are integrated and co-ordinated by the cross-cutting CCAFS. A collaboration between all	1, 3, 14, 15

15 Research Centers, CCAFS seeks to address the increasing challenge of global warming and declining food security on agricultural practices, policies and measures through strategic, broad-based global partnerships. A high proportion of survey respondents rated CGIAR's performance on environmental sustainability as excellent or very good (just short of 50%). Environmental sustainability and climate change indicators are fully integrated into CGIAR's accountability systems. Improved natural resources and ecosystem services is the third SLO (of 3), with 4 underlying IDOs and 11 underpinning specific outcome targets covering a range of climate and sustainability areas. Climate change is also one of four key cross-cutting themes that are critical to attaining the goals and targets. The accountability system for environmental sustainability and climate change is substantially implemented. The CGIAR Annual Performance Report for 2017 includes a wide range of examples where research is making a contribution to adapting to and mitigating climate change. The reporting is at the SLO level and for the Common Results Reporting Indicators. There is also reporting against the climate sub-IDOs in the CRP annual reports. There are no specific environmental screening checklists/impact assessments used for new interventions. Annual POWBs are required to indicate which components of the work programme contribute to climate change and environmental efforts. Interviews suggest that CCAFS is asked to provide climate change advice to other programmes, as well drawing on the extensive climate change experience in the Research Centers. There do not seem to be other procedures or tools in place to assist in the integration of climate change into the design of new interventions. In terms of human and financial resources to address climate change and environmental issues, the CCAFS programme represents a substantial concentration of leadership, expertise and resources in the System. All 15 Research Centers have a stake in CCAFS, and interviews indicate that this collaboration means that efforts can be co-ordinated across all parts of the System and made more strategic. This somewhat balances the minimal capacity building of staff to support integration of climate change and environmental issues. Interviews suggest that there may be an ongoing need to build the capacity of scientists to integrate climate change more strategically and consistently into projects and Flagship portfolios.	1, 3, 14, 15

MI 2.1b Evidence confidence	**High confidence**

MI 2.1c: Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	3
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	3
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	2
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	2
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	2

MI 2.1c Analysis	Source document
CGIAR has no dedicated policy statement on good governance and effective institutions. There is a statement and set of principles outlined in the Partnerships and Development Strategy in the SRF document, as partnerships are integral to promoting CGIAR's development outcomes at scale. This commitment is expressed in various other high-level documents and prominently on the CGIAR website. The business plan states clearly the central importance of diverse partnerships and CGIAR reported more than 1 500 active external partnerships in 2017, ranging from long-standing to innovative new partnerships for adoption at individual, community, sub-regional, national and international levels at scale. However, evaluations (both System-wide and at CRP level) and some interviews note variability in the effectiveness of partnership strategies in place at CRP level, as well as a degree of opportunism rather than strategic analysis in the selection of partnerships.	
Institutional effectiveness, partnership and development indicators are fully integrated into CGIAR's SRF. The CGIAR SRF includes a commitment to a clear focus on strengthening the policy and institution enabling environment and on developing the capacity of national partners and beneficiaries. The two relevant cross-cutting themes are underpinned by a further four outcome areas each. Enabling policies and institutions (good governance) is further set out as one of eight research priorities. The accountability system is substantially implemented. CRPs report against the relevant SRF indicators and the relevant SLO, and partnerships is one of the Common Results Reporting indicators. All partnerships are recorded, providing information on the types and volume of partnerships, although the relative strategic importance of certain partnerships, their effectiveness, how partners benefit and how integration can be improved are not captured.	1, 5, 16, 17, 18, 19, 28, 46
In new interventions, there is a requirement that all POWBs make clear their plans to work with partners. However, evaluations and some interviews note that there is no requirement for a distinct partnership strategy, strategic analysis of partners or operational partnership plan from CRPs, which leads to some of the variability and inconsistencies already noted.	
Evaluative evidence and interviews indicate that the resources and funding base for partnerships has been unstable, short-term and fragmented. Human resources to support partnerships in CRPs are under-resourced. There is no evident connection between the resources concentrated in the PIM platform and partnerships/capacity building, although both focus on the enabling environment. The capacity development of staff on the principles of good partnership development is under-resourced, according to the 2017 evaluation of Capacity Development. Some CRPs provide training and resources, and there is a Capacity Development Community of Practice (CD CoP), whose significant contributions to good practice is recognised in evaluations. However, the CD CoP itself is under-resourced.	
MI 2.1c Evidence confidence	**High confidence**

MI 2.1d: Human rights	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.33**
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	3
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	1
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	1
Element 4: Human rights screening checklists or similar tools used for all new interventions	1
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	2
Element 6: Capacity development of staff on human rights is underway or has been conducted	0
MI 2.1d Analysis	**Source document**
There is no dedicated policy statement on human rights. However, CGIAR Research Centers that host genebanks have legal treaty obligations within the ITPGRFA to protect and promote farmers' rights within their approach to conserving and making available a global resource of germplasm from crops and trees. The Intellectual Asset Management Principles make specific reference to the treaty and farmers' rights. Further, the principles state that they are intended to be "consistent with fundamental human rights as stated in particular in the Universal Declaration on Human Rights and other relevant international treaties." There was only a limited proportion of survey respondents who rated CGIAR's performance on human rights as excellent or very good (only around a quarter).

There are no dedicated indicators for farmers' rights. The SRF captures a high-level commitment to the poorest farmers producers and consumers in three SLOs with many underlying development outcomes and targets. Farmers' rights are implicit in two of the sub-IDOs: "Increased conservation and use of genetic resources" and "More productive and equitable management of natural resources". Farmers' rights are also implicit in the research priority around enabling policies and institutions: "increase the agency and resilience of poor people"; there is also a mention in the SRF of "ensuring that local people control and manage local resources."

The lack of any explicit indicators means that the protection and promotion of farmers' rights are not tracked through accountability systems at the level of the CGIAR System. However, as a minimum, distribution of germplasm to different categories of users, including farmers and individuals, is reported by the Genebank Platform in the 2017 Annual Performance Report.

There are no screening checklists for farmers' rights, although the CGIAR Principles on the Management of Intellectual Assets are accompanied by a set of Implementation Guidelines (2013). These set out how Research Centers should approach protecting and promoting farmers' rights, e.g. complying with applicable national laws or work to promote rights if there are no laws, including access and benefit sharing laws, associated traditional knowledge, plant variety protection laws, national seed regulations, laws concerning the land, resource and cultural rights of indigenous and/or local peoples, and other laws. | 1, 3, 25, 26 |

In terms of human and financial resources, the Policy Module of the Genebank Platform provides guidance to Research Centers on farmers' rights, with the platform providing leadership, expertise and resources in the System on this issue. The assessment team does not have any information as to the resources available in CRPs to implement the guidelines mentioned above. Similarly, on capacity development for protecting and promoting farmers' rights, no information has been identified to date.	1, 3, 25, 26
MI 2.1d Evidence confidence	**High confidence**

OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability.

KPI 3: The operating model and human and financial resources support relevance and agility	KPI score
Satisfactory	**2.59**

There have been changes made in the way that the CGIAR operating model works, but the process of change is slow, which has had an effect on agility. It was originally envisaged that a greater proportion of funding for the CRPs would come from Window 1 (W1) and Window 2 (W2) funds. This was not realised, and Research Centers have, as a result, needed to invest greater resources in raising funds to be able to continue to implement programmes. The new FINPLAN aims to address these problems, with a commitment to increase the volume, predictability and stability of available funding for increased sustainability. At the same time, Research Centers have made and continue to make their own decisions around staffing. While there are processes in place to bring greater consistency in performance management systems, the pace of change varies according to the capacity of each of the Research Centers.	

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan	2
Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	2
Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	2
MI 3.1 Analysis	**Source document**
Each of the independent Research Centers makes its own decisions around staffing. Currently the largest proportion of the funding for the Research Centers comes bilaterally and, hence, staffing is only partially aligned with the current SRF. The current business plan includes as one of the Actions to develop a CGIAR People Management Strategy, with the aim of developing a diverse, high-performing and engaged workforce, with the right mix of skills and expertise to deliver on CGIAR's vision. Sixty per cent of survey respondents strongly agreed that CGIAR staff were sufficiently skilled and experienced.	2, 4

After initial support from Funders, since 2015 (until 2019) there was a decline in funding through Windows 1 and 2, which were central to the development and implementation of the CRPs. As a result, the Research Centers have had to undertake considerable resource mobilisation for bilateral funds. The current business Plan sets out an ambition to increase this central funding again: After a period of decline, CGIAR seeks significant growth (40%) in W1/W2 funding to USD 813.1 million (compared to the 2016-18 period). CGIAR has been through several periods of reform, with the current period underway since 2016. Many of those interviewed felt that these most recent reforms have the clearest purpose. The new business plan, agreed in 2018, is a continuation of managing these reforms with a clear purpose, described in the plan as "[n]ot a one-off 'big bang' reform, but a period of sustained change to proactively manage a necessary evolution of the CGIAR System as it faces profound shifts in its operating environment."	2, 4
MI 3.1 Evidence confidence	**High confidence**

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	3
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	3
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	3
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	3
Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	3
MI 3.2 Analysis	**Source document**
When the current CRPs were first started, there was initial support from the Funders, which helped to initially meet some of the optimistic financial planning by Research Centers. In 2015, however, Funders support to Windows 1 and 2 declined substantially and, as a result, the Research Centers have had to engage in resource mobilisation to ensure the continuation of the CRPs. The new business plan and the associated FINPLAN set out a new approach to resource mobilisation. The objective of the 2019-2021 FINPLAN is to agree to a realistic, transparent and achievable plan shared by Funders and Research Centers ensuring the CGIAR research priorities identified are sufficiently resourced during the 2019-21 period. CGIAR has a range of donors and has considerable experience of working with the private sector. The approach to deepening private sector collaboration is a pragmatic one: "building a System-wide partnership with selected multinational companies to collaborate on advanced research, development impact, and global advocacy."	2, 6

While efforts have already been made to ensure multi-year funding, more are being made. They include an ambition in the 2019-2021 FINPLAN for "System Funders providing greater clarity in the form of multi-year funding pledges or, at minimum, notional Statements of Funder Intention to improve the predictability of total available funding for CGIAR research as well as programmatic level projections."	
As with partnerships with the private sector, the emphasis in the FINPLAN is on partnerships with partner countries/institutions, rather than raising domestic resources: therefore better collaboration at country level is a key objective for CGIAR. It is stated in the FINPLAN that: through enhanced collaboration with national partners, strategic partnerships with other organisations working in those countries and relevant co-ordination among CGIAR entities operating in the same countries, increased impact can be realised.	2, 6
Finally, the FINPLAN includes a commitment that "underpinning this plan is a concerted effort to increase the volume, predictability and stability of available funding which is required to help address the sustainable financial viability of CGIAR Research Centers that the Audit and Risk Committee of the System Management Board is closely monitoring." All of this comes with clear targets and a commitment to greater transparency around funding.	

MI 3.2 Evidence confidence	**High confidence**

MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	3
Element 2: (If the first criterion is met) The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	3
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	2
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3

MI 3.3 Analysis	**Source document**
The 15 Research Centers are independent research organisations that contribute resources towards the CGIAR SRF. In setting out the principles of the System, it is stated: "The Research Centers should be responsible for system functions that can be more efficiently and effectively executed by them and by CGIAR Research Programs and for the use of funds provided to them. Center Boards have legal, governance and fiduciary responsibilities of their own, and these must be fully recognised and respected."	2, 5, 19
The CGIAR System Framework sets out the role of the Research Centers: "The Research Centers are independent and autonomous Organisations with their own governance structures, which focus on effective conduct, delivery and impact of the CGIAR research for development when working with CGIAR System Partners within the CGIAR Strategy and Results Framework. The Research Centers deliver innovative research outcomes within the CGIAR Strategy and Results Framework based on resources provided by the Funders, within the institutional architecture for international development including the Sustainable Development Goals."	

There is evidence from evaluations that the approach that has been taken has had a negative effect on the work of Research Centers. The 2017 Evaluation of Partnerships concluded: "The funding situation has generated a great deal of dissatisfaction and tension. Core funding through Windows 1 and 2, which was expected to provide a solid funding base underpinning research programs and strategic engagement in partnerships, has not materialised at the level expected, and has also been unreliable."	2, 5, 19
The current business plan emphasises the importance of maintaining the independence of the Research Centers, stating: "[t]he plan does not, therefore, aspire to present Center-level strategies or aim to prescribe these… The actions identified below are using existing decision-making structures and roles established in the 2016 reforms, with the philosophy of subsidiarity in decision-making running across the approaches identified in the plan."	

MI 3.3 Evidence confidence	**High confidence**

MI 3.4: HR systems and policies performance based and geared to the achievement of results	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.60**
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	3
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	2
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	2
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc.	3
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3

MI 3.4 Analysis	**Source document**
Each of the 15 Research Centers has its own performance assessment system for staff. There is a CGIAR Human Resources Community of Practice that brings together all of the human resources (HR) heads of the Research Centers to share experience. The current business plan sets out a process of reform for people management that is currently underway, to be developed for the next business plan cycle.	2, 9
As part of this people management strategy, one of the objectives is the consolidation of System-wide HR data and metrics as part of the wider performance measurement, information management and accountability mechanisms. Information about the performance assessment systems for the Research Centers is not currently made public, although there is some evidence of their ad hoc use.	
Again, in the plans for the people management strategy in the current business plan, one of the objectives is to "[d]evelop a diverse, high-performing and engaged workforce, with the right mix of skills and expertise to deliver on CGIAR's vision, in a rapidly evolving operational context, and strategically deployed to maximise the impact of our work."	

The 2017 Evaluation of Gender in the Workplace found from HR Directors' responses "[t]hat the majority of Research Centers have in place, at least to a moderate extent, policies and procedures that foster transparency and consistency in the processes for performance reviews and promotions. Clear and transparent processes help to ensure equity in treatment." This is the area where there is evidence from evaluations that the approach to resource mobilisation is strongest.	2, 9
MI 3.4 Evidence confidence	**High confidence**

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability	KPI score
Satisfactory	**3.07**

There are effective organisational systems in place across CGIAR, and improvements continue to be made to better ensure financial transparency and accountability. The new SRF is complemented by the FINPLAN covering the first business plan period, setting out objectives to build on a recent period of greater financial stability. This has been further complemented by a set of dashboards on the CGIAR website, which have the aim of further increasing financial transparency. The financial accountability systems operate at the Research Center level, with efforts being made through the CGIAR System to build on and encourage greater consistency in the way that these systems operate. The CGIAR System reforms have also put in place oversight committees in the System Council and System Management Board, which take an overall perspective on accountability and on the management of risk.

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.25**
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	3
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan	3
Element 3: The organisational policy or statement is regularly reviewed and updated	3
Element 4: The organisational statement or policy is publicly available	4
MI 4.1 Analysis	**Source document**
The CGIAR SRF sets out this commitment: "Concentrate our research and our impact in specific geographies: Africa (over 50% of investments), Asia (about 30% of investments) and poverty hotspots in Latin America (about 20% of investments), where the majority of the world's poor and hungry live. We will periodically review these investments in light of new political, demographic and climate change imperatives so that our research is aligned to major development goals." The decline in funding to W1/W2 funds in 2015 meant that budgets allocated to the CRPs had to be reduced substantially, resulting in considerable instability for the Research Centers. A significant proportion of survey respondents (almost 30%) rated the flexibility of CGIAR's funding as fairly, very or extremely poor. As the funding to W1/W2 funds has stabilised in the last few years, this has made the situation for the Research Centers easier to deal with, allowing for better forward planning. The current three-year business plan sets out the planned minimum distribution of W1/W2 funds to Research Centers as USD 190 million in 2019; USD 200 million in 2020; and USD 209 million in 2021.	1, 2, 3, 6, 27

Over the life of the current SRF (2016-30) there are plans for four business plans, with the initial plan running from 2019 to 2021, with each business plan having annual work and budget cycles.	1, 2, 3, 6, 27
The SRF, the three-year business plan and the associated FINPLAN are publicly available on the CGIAR website. CGIAR has recently made the contributions by Funders and disbursements of funds, along with the financing plan, publicly available on the website: https://www.cgiar.org/Funders/trust-fund/.	
MI 4.1 Evidence confidence	**High confidence**

MI 4.2: Allocated resources disbursed as planned	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: The institution sets clear targets for disbursement	3
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3
Element 3: Clear explanations are available in relation to any variances	3
Element 4: Variances relate to external factors rather than internal procedural blockages	2
MI 4.2 Analysis	**Source document**
The current three-year business plan sets out the planned minimum distribution of W1/W2 funds to Research Centers as USD 190 million in 2019; USD 200 million in 2020; and USD 209 million 2021. The Consolidated Report on CGIAR Research work plans (2017) brings together the collected CRPs' POWBs for the Independent Science and Partnership Council (ISPC) and includes a section on variations in budgets. The 2017 CGIAR Financial Report also has tables of information on this that show the final allocation of funds versus the planned allocation. The Consolidated Report focuses particularly on W1 and W2 funding and includes a section on variations in budgets, although at System level. There is also a narrative explanation in the 2017 CGIAR Financial Report about the reason for the variance (lower Funder receipts) and the methodology used for allocating funds. The Consolidated Report looks primarily at System level and does not give details on specific variances. In interviews, it was made clear that there are large variances between the proposed budget and the actual budget. In the main, this is due to delays in receiving the funding, which is one of the main causes of implementation delays.	2, 27, 28
MI 4.2 Evidence confidence	**High confidence**

MI 4.3: Principles of results-based budgeting applied	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	3
Element 2: A budget document is available which provides clear costings for the achievement of each management result	3
Element 3: Systems are available and used to track costs from activity through to result (outcome)	3
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	2

MI 4.3 Analysis	Source document
Associated with the three-year business plan, the 2019-2021 FINPLAN sets out the Window 1 and Window 2 allocations to the CRPs for this period. The CRPs are linked to the SRF through the contributions to the IDOs and the indicators for each of these targets. For each of the CRPs, there are annual POWBs that set out costings against the sub-IDOs, with reference to the SRF. The Consolidated Report on CGIAR Research work plans (2017) brings together the collected CRPs' POWBs for the ISPC and includes a section on variations in budgets. The CRP allocate the funds to Flagships and to the Research Centers responsible for these programmes. All CRPs use the same system to track costs, and the lead centre for the CRP has overall responsibility for financial tracking. The current three-year business plan states, under Action 3, the intention to improve costing of management and development results, including an improved set of allocation criteria and tools as part of a new portfolio development process.	2, 6, 27, 29, 30, 31, 32, 33, 34, 35
MI 4.3 Evidence confidence	**High confidence**

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit	Score
Overall MI rating	Satisfactory
Overall MI score	2.83
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	3
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	3
Element 5: Internal audit functions meet international standards, including for independence	3
Element 6: Internal audit reports are publicly available	0

MI 4.4 Analysis	Source document
The CGIAR System Organisation and each of the Research Centers are independent organisations that produce annual financial statements that are externally audited. As set out in the CGIAR System Framework, the System Council has as one of the standing committees an Assurance Oversight Committee. Its purpose is to provide "the System Council with assurance of the completeness and effectiveness of the Internal Audit Function and the independence of external audit functions; a structured reporting line between internal and external auditors and the System Council; and oversight of system-wide governance, risk management and internal controls." The annual audited financial statements for the CGIAR System Organisation and for the Research Centers are produced in accordance with International Financial Reporting Standards. The external audits of the Research Centers include an action plan, which are submitted to the relevant board. A management letter, providing a response, is made available to internal auditors, management and the board, but the responses are not publicly available.	2, 4, 37, 38

In 2018, the chairs of CGIAR's Audit Committees agreed to commission a single firm to carry out an External Quality Assessment of all Center Internal Audit services. That work was overseen by the CGIAR System Internal Audit Function, and a copy of the Executive Summary of the Consolidated Report was shared with the System Management Board and its Audit and Risk Committee in April 2019. The Assessment found that 12 of the 15 Research Centers conform to the Institute of Internal Auditors Standards, 2 partially conform and 1 centre could not be assessed.	2, 4, 37, 38
CGIAR as a System has yet to adopt a policy of publishing internal audit reports.	
MI 4.4 Evidence confidence	**High confidence**

MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.50**
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	4
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3
Element 3: Clear guidelines are available for staff on reporting any issues identified	4
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	4
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	3
MI 4.5 Analysis	**Source document**
As set out in the Charter, the System Management Board has, as one of its standing committees, an Audit and Risk Committee. Its purpose is to provide the System Management Board with independent assurance of adequate internal audit capacity, system-wide governance, risk management and internal controls.	
The System Management Board is responsible for ensuring the completeness and effectiveness of arrangements for the Internal Audit Function, taking into account audit arrangements at the Research Centers and the risk management framework. The CGIAR System Internal Audit Function Charter (April 2018) sets out that the Head of the Internal Audit Function has the responsibility to "[f]ollow up on engagement findings and corrective actions, and report periodically to senior management and the Audit and Risk Committee any corrective actions not effectively implemented."	4, 37, 39, 100, 105
As set out in the CGIAR System Framework, the System Council has, as one of its standing committees, an Assurance Oversight Committee. Its purpose is to provide "the System Council with assurance of the completeness and effectiveness of the CGIAR System Internal Audit Function and the independence of external audit functions; a structured reporting line between internal and external auditors and the System Council; and oversight of system-wide governance, risk management and internal controls."	

The CGIAR Risk Management Guidelines set out the policy requirement that CGIAR Research Centers must have, and provide on request, their whistle-blower policies that provide for reporting of issues. Each of the Research Centers has its own system for reporting issues, with guidelines and a process for tracking. Material that is reported across the System is communicated to the System Management Board and System Council and then published. Internal Audit recommendations typically explain the proposed timeframe for making improvements, although 12 months is not prescribed.	4, 37, 39, 100, 105
MI 4.5 Evidence confidence	**High confidence**

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.33**
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	4
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	2
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy)	4
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	2
MI 4.6 Analysis	**Source document**
The CGIAR website sets out the overarching policy on fraud and corruption: https://www.cgiar.org/how-we-work/accountability/ethics/. This makes reference to the fact that an employee of the CGIAR System Organisation or one of the CGIAR Research Centers should read the applicable internal policies which describe relevant reporting procedures and should follow those procedures first. The individual Research Centers each have their own anti-fraud and anti-corruption policies, which are available online, through searching. The policies clearly set out the roles of management and staff, include a commitment to developing and conducting training and disclosure programmes and establish clear mechanisms for reporting fraud. Material that is reported across the System is communicated to the System Management Board and System Council and then published. In 2018, CGIAR developed an annual CGIAR Integrity Report, providing summarised analysis on financial irregularity matters reported to the System Organisation: https://www.cgiar.org/wp/wp-content/uploads/2019/07/Pilot_CGIAR_IntegrityReport_May2019.pdf.	106, 107
MI 4.6 Evidence confidence	**High confidence**

RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).

KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships	KPI score
Satisfactory	2.62

The CRP planning and design process has brought together a range of partners, both within CGIAR and externally, ensuring that programmes are relevant to regional and national contexts and align to priorities. Research Centers have considerable flexibility in the implementation of the CRPs and work closely with partners in addressing cross-cutting issues and in identifying and responding to risks. The well-established relationships with partners and the relatively long timeframes of the programmes ensure that medium-term sustainability issues are generally well addressed. What is sometimes lacking is a more consistent approach to working with partners, something that is recognised in CGIAR's work on capacity development. There is a recognition that the approaches to capacity development can be somewhat limited to research opportunities and training and that there needs to be a greater focus on long-term sustainability.

MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results	Score
Overall MI rating	Satisfactory
Overall MI score	2.67
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	3
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	2
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3

MI 5.1 Analysis	Source document
Reference to CRP alignment with national strategies or objectives was noted in three POWBs for CRP2: CGIAR Research Program on Roots Tubers and Bananas (RTB), CGIAR Research Program on Forest, Trees and Agroforestry (FTA) and CGIAR Research Program on Wheat (WHEAT). National strategies or objectives are occasionally referenced in the POWB within the Flagship Project of a CRP. Reference to and alignment with national priorities was noted in three evaluations from the sample of CRPs: CGIAR Research Program on Livestock (LIVESTOCK), CCAFS and WHEAT. In the CRP documentation reviewed, there were no examples linking results statements to national or regional goals. The new Guidance for CRP Proposals states that the Coordinated CGIAR Country frameworks will "serve as a vehicle to engage strategic national and other partners in a focused manner to establish shared goals and responsibilities." Research Center staff and those leading CRPs work closely with a wide range of stakeholders from national and regional levels on a regular basis, in the development of programmes and in responding to new and emerging issues affecting the programmes. These relationships have been developed and maintained over a long timeframe and are of considerable significance to the Research Centers.	1, 29, 30, 31, 32, 33, 34, 35, 40, 41, 42, 43, 44, 45, 46, 47, 48

MI 5.1 Evidence confidence	High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.83**
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	3
Element 2: Context statement has been developed jointly with partners	3
Element 3: Context analysis contains reference to gender issues, where relevant	3
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	3
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	3
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	2
MI 5.2 Analysis	**Source document**
A review of 2017-21 CRP2 proposals demonstrates that all seven sampled CRPs provide a "Rationale and Scope" for their programme. The Rationale and Scope positions the work of the CRP within their relevant operating context. The seven sampled CRP proposals for 2017-21 further present each of their Flagship Projects within an additional Rational and Scope, further outlining the specific operating context. The Evaluation of Partnerships in CGIAR report provides evidence that partners have been involved with planning the CRPs. The report further highlights that CRP proposal assessments in Phase 1 and Phase 2 included consideration of whether proposals reflected stakeholder consultation. Research Center staff and CRP leads work closely with national and regional stakeholders to understand and develop the contextual analysis for programmes and interventions. Reviewing the CRP2 proposals for 2017-22, all of the sample CRPs, apart from the Genebank Platform, contain a gender sub-chapter. This gender sub-chapter provides further context analysis with specific reference to gender. The proposals of five CRPs draw on a CRP gender strategy (FTA, WHEAT, RTB, CCAFS, PIM) that provides further context analysis through a gender lens. All of the sample CRP proposals for 2017-21 reviewed include significant contextual analysis with reference to issues of environmental sustainability and climate change. Six out of the seven sampled CRPs (FTA, WHEAT, LIVESTOCK, RTB, CCAFS, and PIM) have a dedicated section on Partnerships in the CRP Proposals 2017-2021. Complementing the Partnership section within the CRP2 proposals, all seven of the sampled CRPs have a dedicated section on Capacity Development. Partnerships are also referenced in the Rationale and Scope section of five (FTA, Genebank, CCAFS, RTB, WHEAT) of the seven sampled CRP2 proposals. The Rationale and Scope section offers a contextual analysis of the operating environment. There is some limited evidence from interviews that work on CRPs and interventions which are part of CRPs comprises regular reflections on progress in implementation. This has included reflections on changes in the context.	1, 5, 6, 14, 40, 49, 50, 51, 52, 53, 54, 55
MI 5.2 Evidence confidence	**High confidence**

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.20**
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	1
Element 3: Capacity analysis statement has been developed jointly where feasible	1
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	3
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	3
MI 5.3 Analysis	**Source document**
All of the sample CRP proposals for 2017-21 reviewed, apart from the RTB proposal, contain a clear statement on conducting a capacity development assessment of implementing partners. While it is recognised that capacity development is a central part of what CGIAR does, there is very limited evidence referenced in documents that detailed capacity analysis takes place as part of CRP development or that such analysis is carried out with partners. However, each of the seven sampled CRP proposals for 2017-21 does include a Capacity Development Strategy, with "Strategic CapDev actions" for each stage within the capacity development cycle. In addition, six of the seven sampled CRPs provide evidence of monitoring and evaluation of capacity development activities, outcomes and impact, although evidence of partner involvement is limited.	3, 14, 18, 21, 29, 40, 49, 50, 51, 52, 53, 54
MI 5.3 Evidence confidence	**High confidence**

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	3
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	3
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	3
Element 5: Risks are routinely monitored and reflected upon by the partnership	3
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	3

MI 5.4 Analysis	Source document
Within the categories of the Risk Management Guidelines, the seven sample CRPs provide documentary evidence of analysis and strategies for operational, strategic and reputational risks, while six CRPs also include political risks. From the sample of seven CRPs, there is documentary evidence in four CRP2 proposals (FTA, LIVESTOCK, Genebank and CCAFS) stating that risk registers are updated yearly. All seven sample CRPs report on identified risks and mitigation strategies in both their Annual Reports and the POWBs. There is documentary evidence indicating that six (FTA, WHEAT, LIVESTOCK, CCAFS, PIM and Genebank) of the sample CRPs document and communicate risk mitigation actions taken.	14, 20, 21, 22, 23, 24, 29, 30, 31, 32, 33, 34, 35, 49, 50, 51, 52, 53, 54, 56, 57, 58, 59
MI 5.4 Evidence confidence	**High confidence**

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.38**
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	3
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	2
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	2
Element 4: Intervention designs include the analysis of gender issues	3
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	3
Element 6: Intervention designs include the analysis of good governance issues	3
Element 7: Intervention designs include the analysis of human rights issues	0
Element 8: Plans for intervention monitoring and evaluation include attention to cross-cutting issues	3

MI 5.5 Analysis	Source document
The 2017-2021 CGIAR Research Program Portfolio, Final Guidance for Full Proposals provides criteria for assessing full proposals and includes the need for analysis of cross-cutting themes and their inclusion for each Flagship as well as the CRP. For the development of CRPs and for the POWB, there are guidelines for the inclusion of gender issues but not for other cross-cutting issues. In the sample of seven CRPs, the analysis of gender issues was included in both the CRP2 proposals and the POWBs for six of the sample CRPs (FTA, WHEAT, LIVESTOCK, RTB, CCAFS and PIM). Analysis of environmental sustainability and climate change issues was also included in the POWBs for six of the sample of seven CRPs (FTA, WHEAT, LIVESTOCK, RTB, CCAFS, and PIM). Analysis of environmental sustainability and climate change issues was included in the CRP2 proposals for all seven of the sample CRPs. Analysis was part of either environmental sustainability and climate change issues as a Flagship Program or as a cross-cutting issue. Analysis of partnerships was included in the CRP2 proposals and the POWBs for all seven of the sample CRPs. Analysis included issues of "comparative advantage" of partnerships and "capacity development" of partners. No evidence was found of the inclusion of human rights issues in the CRPs reviewed.	11, 14, 29, 30, 31, 32, 33, 34, 35, 40, 49, 51, 52, 53, 54, 60

The review of the sample CRPs provides evidence that climate change is included in the monitoring and evaluation plans of the CRPs either within Flagship sub-IDOs or as cross-cutting sub-IDOs; gender is included in the monitoring and evaluation plans of the CRPs either within Flagship sub-IDOs or as cross-cutting sub-IDOs; and six of the sampled CRPs provide evidence of monitoring and evaluation of partnership capacity development activities.	11, 14, 29, 30, 31, 32, 33, 34, 35, 40, 49, 51, 52, 53, 54, 60
MI 5.5 Evidence confidence	**High confidence**

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	2
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	2
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	3
MI 5.6 Analysis	**Source document**
At the CRP level, all seven sample CRPs address aspects of sustainability in the design of one or more of their Flagship Programs or Modules (Genebank) and include these issues in the monitoring and evaluation plan. In the majority of cases, the analysis of sustainability and the inclusion of critical assumptions in the monitoring and evaluation plan is rather limited. However, a significant proportion of survey respondents (over 20%) rated CGIAR as fairly poor in the focus on sustainability in its interventions. From the sample of seven CRPs, all have one or more Flagship Programs that are designed to create enabling policy and legal environments to sustain benefits from interventions, including a focus on the necessary reform processes.	1, 14, 18, 49, 50, 51, 52, 53, 54
MI 5.6 Evidence confidence	**High confidence**

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: Internal standards are set to track the speed of implementation	3
Element 2: The organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	2
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	3
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	3

MI 5.7 Analysis	Source document
The annexes of the CRP performance report include a section on whether implementation milestones of programmes are being met. These milestones track the annual speed of delivery but do not provide benchmarks for the organisation. The main delays that have been encountered have been external, particularly delays in funding, as reported in the 2017 Performance Report. The report also provides information on specific CRP strategies to address bottlenecks, including lack of specialist staff available and funding uncertainties resulting in a reluctance to invest. However, there has not yet been any work on common institutional bottlenecks.	46
MI 5.7 Evidence confidence	**High confidence**

KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources	KPI score
Satisfactory	**2.92**
Partnerships are central to the work of CGIAR and individual Research Centers, something that is clearly set out in the CRPs. Partnerships are generally developed and maintained effectively through the approach to programming, where CGIAR makes good use of its comparative advantage as an international organisation, while maintaining flexibility and agility through implementation by Research Centers. The resources that are available through W1 and W2 funding have been used, in the main, strategically to leverage the resources that partners at national, regional and international levels are able to provide. At the same time, CRPs have also worked strategically to expand the range of partners, particularly working with the private sector. CGIAR plays an important role internationally in terms of the production of knowledge products and open access data, perhaps most notably through the Genebank Platform. There is, however, a recognition that still more could be done, with a commitment to build on the current relatively limited approaches used.	

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.80**
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	3
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/ HQ level within a limited timeframe (less than three months)	3
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	2
MI 6.1 Analysis	**Source document**
The Guidance for the Second Call for full proposals for CRPs states that a key principle is flexibility, acknowledging that CRPs need flexibility in how budgets are structured, given the different contexts in which they operate. It is further emphasised that there is a considerable degree of freedom once CRPs are agreed, so that while CRPs are expected to map out how financial resources will be spent, at the country level there is freedom to decide on detailed budgets at that level.	6, 27, 29, 30, 31, 32, 33, 34, 35, 40

The POWBs for the CRPs are reported annually and include sections on the use of different funding sources, setting out planned budgets for each of the Flagship Programs. There is also a section reporting on revisions to programmes of work in response to changes in funding, in some cases establishing how additional funding will be sought. Research Centers involved in CRPs have considerable flexibility to make changes in the use of resources, both in terms of allocating W1 and W2 funding and particularly in the use of W3 funding, which is directly allocated to specific Research Centers. The POWBs are a means for CRPs to set out annual financial plans and to account for any major changes planned. The POWBs for the CRPs include a section on collaboration and integration between Research Centers, which sets out both the mechanisms and the process for reviewing progress, and on country co-ordination, which lays out the mechanisms in specific countries and the means by which changes will be made. The Consolidated Report of CGIAR Research Work Plans for 2017 includes a section recording and analysing the reported variations in POWBs for the CRPs, which records the use of W1 and W2 funding to enable long-term and comprehensive research activities and as a means to improve performance.	6, 27, 29, 30, 31, 32, 33, 34, 35, 40

MI 6.1 Evidence confidence	**High confidence**

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	3
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	3
Element 3: The organisation aligns its resources/competencies to its perceived comparative advantage	3
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	3

MI 6.2 Analysis	**Source document**
The three-year business plan clearly sets out that "CGIAR's role is to use its unique partnerships and interfacing roles as well as the diversity of assets and skills to meet the SDGs. The scale and breadth of the task places CGIAR in a unique role – since the diversity and depth of its assets, activities and focus, range of partnerships and history of delivering impact at scale place it in a unique position to help lead this change." The Evaluation of Partnerships in CGIAR includes the conclusion that "CGIAR's comparative advantage lies in a combination of two factors: presence in and knowledge of the many countries where it works, in some cases with long-term links to national institutions, and a reputation as a solid scientific partner – a world leader in some areas." In response to this conclusion, there are efforts to build on these strengths through the performance-based management system, which is currently under development and which focuses in part on partnerships. The CRP proposals were formulated with significant levels of stakeholder and partner inputs. The CRP proposals include sections on the Roles of CGIAR Research Centers and Integration with other CGIAR Research Programs and Partnership strategy. These set out respectively: the comparative	2, 5, 14, 29, 30, 31, 32, 33, 34, 35, 49, 50, 51, 52, 53, 54, 62

advantages of Research Centers within CRPs and the contributions that will be made to other CRPs; and the processes by which CGIAR will work with partners to define what each brings to the partnership and the resources that will be required. The POWBs have a section on planned major collaborations, which includes space to describe the collaboration and to set out the value added for the CRP. The CRP proposals include sections on the Partnership strategy, which sets out groups or categories of partners and outlines what partners can bring to the programme. All the CRP proposals reviewed include clear examples setting out the roles that different partner groups will play in implementation. Between 55% and 65% of survey respondents rated CGIAR as excellent or very good in terms of the role and influence in national and regional policy dialogue.	2, 5, 14, 29, 30, 31, 32, 33, 34, 35, 49, 50, 51, 52, 53, 54, 62
MI 6.2 Evidence confidence	**High confidence**

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems	Score
Overall MI rating	**Not applicable**
Overall MI score	**N/A**
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on the use of country systems within a given time period	
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	
Element 4: Reasons for non-use of country systems clearly and transparently communicated	
Element 5: Internal structures and incentives supportive of greater use of country systems	
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	
MI 6.3 Analysis	**Source document**
CGIAR works primarily through partners and so does not engage with country systems. As such, it was decided not to assess this MI.	
MI 6.3 Evidence confidence	**High confidence**

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	3
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	3
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	3
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	3

MI 6.4 Analysis	Source document
All POWB for 2018 and CRP2 Proposals provide information on i) New Key External Partnerships, ii) New Contributions to and from Platforms, iii) New Cross-CRP Interactions, and iv) Expected Efforts on Country Collaboration. Cross-CRP interactions describe how Flagship Projects will collaborate with projects of other CRPs. The 2018 POWBs for all the sample CRPs additionally provide a table with a brief description of collaborations among programmes and between the programmes and platforms. The description of collaboration illustrates the "give and take" among CRPs and the value added. The 2017-21 proposals for all seven sampled CRPs state to which SLOs the CRP strategy will contribute. The proposals further present the SDGs that the CRP will contribute towards. The 2017-21 proposals for all seven sampled CRPs also include statements describing how the CRP strategy will be leveraged to add value to SLOs, as well as narratives describing how each Flagship of the CRP strategy will contribute to sub-IDO then to SLOs and SDGs.	1, 5, 14, 28, 29, 30, 31, 32, 33, 34, 35, 49, 50, 51, 52, 53, 54
MI 6.4 Evidence confidence	**High confidence**

MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.83**
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	2
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	3
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3

MI 6.5 Analysis	Source document
The majority of CRPs and their projects carry out very extensive consultation and co-ordination exercises as part of their planning. Evidence from the interviews confirms the range of co-ordination with other Research Centers and with partners in the development of programmes and interventions. All the POWBs prepared annually are carried out jointly with partners, to ensure alignment. The 2018 POWBs for all the sample CRPs additionally provide a table with a brief description of collaborations among programmes and between the programmes and platforms. The description of collaboration illustrates the "give and take" among CRPs and the value added. The 2017 Performance Report includes a focus on evidence that the CRPs participate in joint programming, setting out a range of examples: "Overall, only 14% of innovations were tagged as being the 'sole' product of CGIAR and of these, nearly two thirds (61%) were at the first stage of	1, 3, 29, 42, 46, 49, 58

innovation (discovery/proof of concept). At the development/scaling stage, 94% of innovations were the product of joint work: in 73% of cases the CRP was the 'lead Organisation' in a partnership, while in 21% of cases, the CRP was a 'contributor' to a team led by partners. This includes participation in joint monitoring and reporting."

The ISPC has held regular Science Forums that have focused on joint identification of the global state of information and gaps in different key areas of CGIAR work. In addition, the objective of many of the CRP/Flagship consultation exercises is to jointly identify key information gaps. The Standing Panel on Impact Assessment (SPIA) also worked with the World Bank to incorporate CGIAR data into the Living Standards Measurement Survey, to include Integrated Surveys of Agriculture in eight sub-Saharan African countries as a means of tracking the uptake of and adoption of improved varieties.

1, 3, 29, 42, 46, 49, 58

MI 6.5 Evidence confidence	High confidence

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: Information on the organisation's website is easily accessible and current	4
Element 2: The organisation has signed up to the International Aid Transparency Initiative (IATI) or reports through the OECD-DAC systems	2
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (Creditor Reporting System, CRS) guidelines	3
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3
Element 5: Evidence that information shared is accurate and of good quality	3

MI 6.6 Analysis	Source document
The CGIAR Open Access and Data Management Policy was formally approved in October 2013, setting out the expectations on research data management in line with the CGIAR Open Access and Data Management Implementation Guidelines. These aim to be fully implemented by 2018, and they are designed to make final CGIAR Consortium information products Open Access – including publications, datasets and audio-visual materials. The guidance for CRP2 proposals states that "the overall objective of CGIAR policy is to open CGIAR's trove of research data and associated information for indexing and interlinking by a robust, demand-driven cyberinfrastructure for agriculture, ensuring that research outputs are open via FAIR principles – that is, they are Findable, Accessible, Interoperable and Re-usable to enhance innovation, impact, and uptake." The Assessment Criteria for CGIAR's six Program Performance Standards for 2019-2021 reports, "CGIAR is moving towards compliance with the International Aid Transparency Initiative". Further, the overarching aim is that: "CGIAR programmes and projects [are] adequately transparent to international standards, such as IATI". There is a commitment to moving CGIAR towards compliance with the IATI standards. There is already a significant amount of information publicly available on CGIAR's programming, budgeting and management, including: funding and budgeting, through the CGIAR Trust Fund dashboard; and CRPs and programming, through CG Space. The dashboard, in particular, aims to ensure that data is available to partners without the need to submit queries, as well as to ensure accuracy and quality.	6, 40, 63, 64, 65, 66

MI 6.6 Evidence confidence	High confidence

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented	Score
Overall MI rating	**Not applicable**
Overall MI score	**N/A**
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	
MI 6.7 Analysis	**Source document**
CGIAR works primarily with national research institutions, non-governmental organisations (NGOs) and private sector partners and through them with beneficiaries. As such, it was decided not to assess this MI.	
MI 6.7 Evidence confidence	**High confidence**

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	3
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	3
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	3
Element 5: Surveys or other methods applied to assess partner perception of progress	3
MI 6.8 Analysis	**Source document**
At the level of the CRP, there is evidence of five of the sample of six CRPs (FTA, WHEAT, LIVESTOCK, RTB, CCAFS, PIM) collaborating with partners (CRPs, Research Centers or external stakeholders) on studies and assessments relevant to CRP outcomes and impacts. Interviews with Research Centers and CRP leads gave significant evidence of their involvement in joint assessments. The CRPs hold regular national, regional and international conferences and meetings. They bring together wide ranges of stakeholders to review key sectoral issues, assess progress and map out	20, 29, 30, 32, 33, 34, 35, 41, 42, 43, 45, 46, 47, 48

future ways forward on a range of issues, from responses to diseases and threats to climate smart agriculture and agriculture and food policy, to preservation of crop biodiversity. In the development of the CRPs, surveys have been undertaken on partners' perceptions of the performance of the programmes and the CGIAR. The evaluations of the CRPs all included, in their methodology, survey and interviews, to assess partner perception of CRP progress. In addition, individual CRPs, such as the Wheat and Maize programmes, have carried out partner surveys.	20, 29, 30, 32, 33, 34, 35, 41, 42, 43, 45, 46, 47, 48
MI 6.8 Evidence confidence	**High confidence**

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.83**
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	3
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	2
Element 5: Evidence that knowledge products are perceived as high quality by partners	3
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	2
MI 6.9 Analysis	**Source document**
The CGIAR website has a clear statement on the importance of knowledge production, under the heading of Open Access and Open Data: CGIAR Research Centers and Research Programs have been leaders in agricultural development for decades, producing valuable outputs that are generally considered to be global public goods." In the preamble to CGIAR's Open Access and Data Management Policy, its role in knowledge production is set out as follows: "CGIAR regards the results of its research and development activities as international public goods and is committed to their widespread dissemination and use to achieve the maximum impact to advantage the poor, especially smallholder farmers in developing countries." There is considerable evidence in the 2017 Performance Report that CGIAR's research results have contributed to national- and international-level policies. There are also specific examples, such as in the FTA Annual Report, that knowledge products have been used by partners to inform advocacy at national and regional levels. There is some evidence from interviews that knowledge products are timely. On the production of knowledge products, The Synthesis and Lessons Learned from 15 CRP Evaluations includes this conclusion: "Overall, the evaluations concluded that the CRPs have been able to produce outputs of a quality that is consistent with what can be expected from international agricultural research Organisations." However, there is considerable variability in this respect. Over 75% of survey respondents rated CGIAR's knowledge products as excellent or very good. The evidence available shows that the main knowledge products have in the main been peer-reviewed articles, which can have limited reach, as is recognised in CGIAR. As a result, efforts are being made to extend the reach of CGIAR's work, through a greater range of knowledge products.	24, 28, 42, 45, 46, 47, 67, 68
MI 6.9 Evidence confidence	**High confidence**

PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning.

KPI 7: The focus on results is strong, transparent and explicitly geared towards function	KPI score
Unsatisfactory	2.35

Results-based management (RBM) has been evolving and improving through various reform processes. Corporate commitment to a results culture is present, but there have been both conceptual and operational tensions with implementing RBM in practice, including the need for considerable managerial change and data systems development at different levels. Conceptual tensions include the complex pathways between scientific outputs and high-level development outcomes that are described in the SRF, which initially led to setting inappropriate indicators and targets in CRPs. Consequently, measurement and tracking has also been challenging. Operational tensions arose from the fact that RBM development was mobilised first within CRPs, rather than at a System-level. Although broad System-level guidance was provided, this was insufficiently operationally focused to guide consistent development of core concepts in the first phase and led to diversity of approaches and information technology (IT) systems to support RBM. The CRP-led development of RBM has meant that investment in and resourcing of RBM have also been fragmented and varied within CRPs and Research Centers across the System.

However, since 2017, there has been increasing harmonisation across the System of the concepts, approaches and IT systems for RBM, facilitated by the Monitoring, Evaluation and Learning Community of Practice. A shared set of tools and methods for measuring and managing results are available now after a few years of experimentation and are in the process of being harmonised, including: i) CRP Theories of Change (ToCs); ii) the POWB; iii) the SRF; iv) the Common Reporting Indicators; v) the Performance Management Standards; and vi) Outcome Case Studies. A shared management information system (MIS) to aggregate reporting information at the System level is now in place. 2018 saw the publication of the first Annual Performance Report, drawing on the 2017 MIS data from CRPs and Research Centers, as well as evaluations and impact assessments from across the CGIAR System. This represents the early stages of implementation and harmonisation at the System level of the new Performance Management and Outcomes approach, as per the actions in the 2019-21 business plan. The 2018 Annual Report had not been released by mid-2019 but is expected to improve on the quality of the performance data produced by the new RBM systems and processes.

Performance data has not been systematically applied in decision-making, as there have been acknowledged misalignments between results, performance and planning cycles. There is no clear evidence that management, at the System or CRP levels, routinely reviews corporate performance data and makes appropriate adjustments, as the performance and results reporting systems have not been in place. Also, decision-making around interventions rests at different levels in the System (Research Centers, CRPs and System level), so different levels of operational detail on performance are required. By the end of this business plan cycle, it is expected that there will be more momentum towards performance data being applied in decision-making.

MI 7.1: Leadership ensures application of an organisation-wide RBM approach	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.50
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	3
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	3
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	3
Element 4: Tools and methods for measuring and managing results are available	3
Element 5: Adequate resources are allocated to the RBM system	2
Element 6: All relevant staff are trained in RBM approaches and methods	1

MI 7.1 Analysis	Source document
Corporate commitment to a results culture is captured in several strategic documents, which reflect the evolving approaches to operationalising a commitment to RBM through recent reform processes. The SRF defines System-level development outcome objectives and targets. The SRF provides the framework for CGIAR Research Program development, priority setting, and resource development and allocation for successive periods and is reported on annually. The 2019-21 business plan commits to improving and embedding RBM. This process is in the early stages of being rolled out. Requirements and incentives for RBM have been evolving in CGIAR since prior to 2015. From 2017, there has been a harmonised Common Results Reporting with consistent standards across CRPs. In 2015, the guidance document for CRP proposals for programmes for the 2017-22 portfolio required CRPs to have in place an RBM and a Monitoring, Evaluation and Learning (MEL) strategy. However, the RBM evaluation in 2017 found that there were both conceptual and operational tensions with implementing RBM in practice, including the need for considerable managerial change and data systems development at different levels. In 2019, the business plan for 2019-21 has prioritised revising and strengthening results reporting, but this is still in the early stages of implementation. Guidance on RBM was provided in the CRP 2 design documents, which included parameters for CRPs to design their own RBM approach, within the framework of the SRF. The 2017 RBM evaluation found that there were challenges and inconsistencies, so more specific guidance to operationalise the RBM approach was developed by the MEL Community of Practice, with further commitments in the business plan to provide clearer and more consistent guidance and templates. Six Program Performance Standards, including standards relating to RBM, were agreed by the System Management Board in December 2018, to be piloted in late 2019, using available 2019 data. Tools and methods for measuring and managing for results are available after a few years of experimentation and are in the process of being harmonised, including: i) CRP ToCs; ii) the POWB; iii) the SRF; iv) the Common Reporting Indicators; v) the Performance Management Standards; and vi) Outcome Case Studies. A shared management information system to aggregate reporting information at the System level is now in place. This represents the early stages of implementation and harmonisation at the System level of the new Performance Management and Outcomes approach, as per the actions in the 2019-21 business plan. In terms of resources allocated to the RBM system, documents and interviews are consistent in stating that RBM is under-resourced and existing resources are fragmented. Resource allocations to RBM are made at the discretion of Research Centers, CRPs and the System Office and are not specifically broken out, e.g. the Financial Report 2017 does not detail RBM associated expenditure. The MEL Community of Practice is involved in the development and implementation of RBM across CRPs, while interviews suggest that CRPs may have around 0.7 full-time employees dedicated to monitoring and evaluation functions, including gathering reporting data and putting it into the MIS. A range of interviews suggested that staff who participate in the MEL Community of Practice are funded from a mix of CRP and Center funding. Research Centers themselves invest widely different amounts in RBM and MEL, with some dedicating up to 10% of their funding to establish large, high-capacity teams, while other Research Centers have minimal staff resources dedicated to RBM. At the System level, there is a Programs group with 1 full-time employee and 1 external consultant with responsibility for co-ordinating performance reporting, developing the MIS and the IT systems and quality assurance (QA) of the annual performance reporting data, creating the dashboards and improving the quality of the performance data through providing support to Research Centers. A specialist Senior Manager for Results and Performance was planned to join in July 2019.	1, 2, 4, 6, 7, 40, 69, 72, 73, 74

Staff training in RBM has been inconsistent across the Research Centers and CRPs. Interviews suggest that some CRPs provide training and support on MEL to scientists during annual planning and developing of the POWB, but ways of working vary across CRPs. The 2017 RBM evaluation recommended training to get the full potential of an RBM approach, but this recommendation was only partially accepted by management. Interviews suggested that there is a continuing need for capacity development of MEL staff, research management staff and CRP leaders to improve the capture, quality and use of data for the Annual Performance Report and other System reporting processes.	1, 2, 4, 6, 7, 40, 69, 72, 73, 74

MI 7.1 Evidence confidence	**High confidence**

MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Organisation-wide plans and strategies include results frameworks	3
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3
Element 3: An annual report on performance is discussed with the governing bodies	3
Element 4: Corporate strategies are updated regularly	3
Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results	3

MI 7.2 Analysis	**Source document**
Organisation-wide plans and strategies include results frameworks. The 2016-2030 Strategic Plan has a high-level SRF, which defines a cascading results and outcomes framework for the organisation-wide business plan and programme strategies. CRP plans refer to the SRF, SLOs and IDOs as appropriate to their focus, as can be seen in the annual POWBs.

In terms of clear linkages between the different layers of the results framework, the SRF defines the layers of outcomes that support the System-level results, from CRP level upwards to the SLOs. However, the 2017 evaluation of RBM and the syntheses of various CRP evaluations both note that, given the complexities of the downstream systems through which long-term research influences development outcomes, linkages between different layers of the results framework were unrealistically framed, with inappropriate outcome attribution expectations set for portfolios of mixed-risk research investments. Various evolutions in the framing and layering have improved on this, operationalised in the 2018 Performance and Outcomes approach, based on the "spheres of influence" concept for research impact, which provides a more realistic and manageable framing for performance-results outcomes.

The Annual Performance Report is discussed with governing bodies, as mandated by the System Framework. The focus and format of this has been evolving, with an increasing focus on results and performance for the 2017 report. This reflects the introduction of System-wide results reporting systems, offers evidence on progress, a reflection on factors that help CGIAR move from research results to achieving practical impacts on the ground, and discusses how CGIAR worked to improve its performance in 2017. The information in the main report is supported by detailed data, publicly available in four annex tables, four narrative annexes and nine evidence tables linked to the report. | 1, 2, 3, 4, 12, 28, 29, 30, 31, 32, 44, 69, 73, 74 |

The 2018 report is due to be published in October 2019, and interviews have confirmed that the data collection, quality assurance of data and improvement of reporting processes have all taken place as planned. A System-level Dashboard that draws on data from the CRP-level MIS is also in development to provide performance information more rapidly. Corporate strategies are updated regularly, through the new business plan process in place since 2018. This lays out a clear and systematic process for updating implementation plans and higher-level strategies at four levels, integrating previous planning processes into one architecture. The annual work planning and budget cycle is the most frequently updated, led by CRPs and management units. The third level is the three-year business plan cycle (currently in the first phase) of short- and middle-range planning, from 2019 to 2021. Level 2 is the higher-level strategy that covers the middle- to long-range planning for the portfolio of research and development (R&D) investments for 2020-30. Above this, at Level 1, is the over-arching SRF that runs from 2016 to 2030. The 2017 Annual Report is the first strongly performance-oriented report at the System level. It notes progress over time and areas of strong performance. It also provides details and links to underlying evidence where milestones have been fully met or partially met and plans have fallen short. The 2018 Annual Report has not been released yet but is expected to continue to build on the systems and rich data produced by the new systems to report on performance.	1, 2, 3, 4, 12, 28, 29, 30, 31, 32, 44, 69, 73, 74

MI 7.2 Evidence confidence	**High confidence**

MI 7.3: Results targets set based on a sound evidence base and logic	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	2
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3
Element 3: Development of baselines are mandatory for new interventions	3
Element 4: Results targets are regularly reviewed and adjusted when needed	3
MI 7.3 Analysis	**Source document**
The setting of targets and indicators has been challenging since the introduction of RBM as an institutional reform priority a decade ago, in 2009. The SRF sets high-level SLOs, IDOs and SLOs which, while well-established as the high-level results framework, are regarded slightly differently by CGIAR stakeholders, according to interviews. For some respondents, the SRF targets are more aspirational and set a direction of travel; others see them as "real-life" SLOs that CGIAR should be promoting and believe that progress towards them should be measured directly. However, interviews suggest that a consensus has emerged that over-focusing on the SRF level targets obscures the mechanisms and long-term complex pathways through which science for development promotes development outcomes. Since 2016-17, the Performance and Outcomes approach has helped to better capture the pathways – common reporting on innovations and their development stage has helped to generate data at a key intermediate step in the causal pathways. Interviews suggest a lot of optimism and buy-in that the performance approach will help to bridge the gap between research delivery at the CRP level and the SRF SLOs and IDOs, although there is only one year's data so far.	1, 2, 3, 28, 44, 69, 73

Indicators are relevant to the expected result, within the parameters just described. The SRF, the Annual Report and the business plan supporting documents on performance all contain indicators which are relevant to the expected result at the SLO and IDO levels. It is recognised that the measurement of the outcome indicators remains a challenge. This requires both specialist adoption and impact assessment studies and evaluations, as well as the CRP being able to capture early-stage outcomes. Development of baselines is highly complicated, and/or highly expensive, for agricultural research for development, as early CGIAR experience with RBM highlighted. However, CRPs did conduct a situational and problem analysis as part of their proposal development, rather than a technical baseline. The proposed approach for new interventions from 2021 onwards is to manage them through an integrated system of commissioning reviews and performance assessment, which includes the adoption of Performance Management Standards. New interventions will have a Quality Assessment at Entry, where they have to demonstrate that they meet the performance standards, including standards for the selection of new projects and withdrawal of projects, based on theory of change and high-quality impact and outcome evidence. Results targets are regularly reviewed, as described in MI 7.2.4, as part of the four-level planning cycle, with high-level targets set within the ten-year SRF and with opportunities to review these, based on evaluations and other studies that are aligned to the three-year business plan cycle.	1, 2, 3, 28, 44, 69, 73

MI 7.3 Evidence confidence	**High confidence**

MI 7.4: Monitoring systems generate high quality and useful performance data	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: The corporate monitoring system is adequately resourced	2
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2
Element 3: Reporting structures are clear	2
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	2
Element 5: A system for ensuring data quality exists	2
Element 6: Data adequately captures key corporate results	2
Element 7: Adequate resources are allocated to the monitoring system	2

MI 7.4 Analysis	**Source document**
The corporate monitoring system has been historically under-resourced, with Research Centers having to fund the MIS from their core funding. Although there is some investment now in the system and in staffing, it is not optimally resourced yet, e.g. more training is required to improve the quality of the data and staffing for QA of data (see MI 7.1.5). The CRPs use one of two management information systems, with an interoperability module at the System-level that allows this data to be drawn together. This produces data at output and outcome levels, although only one year is available so far. Outcome level data is collected through CRP-commissioned evaluations and adoptions studies, with longer-term outcome data generated through System-wide specific adoption studies and impact assessments, supported or led by SPIA. The annual reporting process is the primary structure through which CRPs describe progress and results achieved against the POWB submitted during the planning cycle of the previous year.	2, 6, 41, 46, 69, 73, 75, 80

However, CRP evaluations and some interviews note that the three-dimensional matrix-structure of a CRP, plus leading Research Center, plus the collaboration with other Research Centers has led to fragmentation and a lack of clarity in reporting processes. Some CRPs are more complex than others, but most have multiple reporting lines within the CRP and must, in addition, report to the donors of bilateral projects, leading to a burden of reporting on CRP leads and scientists. This is an issue that the new business plan process and performance improvement measures aim to address, but it is not yet fully implemented. Annual reporting is an established routine, but there has not been a timely alignment of information to support corporate reporting and planning. The performance information has been varied and evolving, as monitoring work, evaluations and impact assessments have been running on different cycles, led by different entities. The revamped integrated performance management and assessment process envisioned in the new business plan intends to address this, but it is just in the second year and reporting systems alignment is ongoing. The QA process is not captured in public documents, but interviews confirm that there was a partial QA process for the 2017 Annual Performance Report and will be a full QA for the 2018 Annual Performance Report. Data quality from CRP reporting is improving, but the forthcoming live dashboard will require further development of the QA system. The increasingly aligned monitoring and data systems are able to capture key corporate results, as described in the SRF Annual Performance Report. This was the case prior to 2016. The new performance process is intended to be further systematised in 2019 as the dashboard and MIS system is finalised and rolled out. Resourcing – same reasoning as for Element 1 above.	2, 6, 41, 46, 69, 73, 75, 80

MI 7.4 Evidence confidence	High confidence

MI 7.5: Performance data transparently applied in planning and decision-making	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.50**
Element 1: Planning documents are clearly based on performance data	2
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	1
Element 4: Performance data support dialogue in partnerships at global, regional and country level	1

MI 7.5 Analysis	Source document
The main planning document for CRPs is the POWB, presented annually within the framework of the longer-term approved CRP proposal for Phase II of implementation. The 2018 POWBs do not feature performance data as a justification for the planned activities/strategies. CRP proposals include broader evidence on context, issues and drivers, but not performance data. This is an acknowledged gap that the new business plan and performance management strengthening intends to address. From the documents reviewed, adjustments to interventions are not routinely informed by performance data, partly to do with systems and partly to do with the longer time cycles for results from research. However, several interviews suggest that there have been efforts to integrate evidence from evaluations and impact assessment into the research planning. The Performance	29, 30, 31, 32, 44, 73, 74, 80

Standards assessment will also provide data to adjust research management, but this is not yet fully implemented. Over 25% of survey respondents stated that the response to under-performance was fairly or very poor. As previously noted, there have been acknowledged misalignments between results, performance and planning cycles. There is no clear evidence that management (at the System or CRP levels) routinely reviews corporate performance data and makes appropriate adjustments, as the performance and results reporting systems have not been in place for long enough. Also, decision-making around interventions rests at different levels in the System (Research Centers, CRPs and System level), so there are different levels of detail required. Once live, the performance dashboard may provide more momentum towards this, but this will be at a System-level, rather than delivery level, and has not yet been implemented. There is no evidence of this happening routinely. The CRP synthesis evaluation notes that national partnerships are usually based on legacy relationships, sometimes going back decades, rather than performance or prioritisation considerations. However, at a global level, the 2017 Annual Performance Report is reflecting on global data trends and gaps to track the SDGs, which could develop into an important dialogue.	29, 30, 31, 32, 44, 73, 74, 80
MI 7.5 Evidence confidence	**High confidence**

KPI 8: The organisation applies evidence-based planning and programming	KPI score
Highly unsatisfactory	**1.14**

The evaluation function has been reformed and has been in transition since January 2019, with recruitment still ongoing. The new evaluation function is one of three work streams delivered by the Advisory Services Shared Secretariat. The reform represents a significant shift from the previous arrangement, which involved a separate evaluation entity, reporting to the System Council.

The ToR for the new evaluation arrangement specifies that the whole Advisory Services Shared Secretariat is independent from the System Organisation's management, including its operational and policy units and decision-making. However, a wide range of interviews highlighted uncertainty around the independence of the new evaluation function in practice, as the delivery arrangements for the new evaluation function have not been yet been implemented. Uncertainty arises from the design of the new structure, where the Senior Evaluation Manager reports to the Head of the Shared Services and beyond that to the Chair of the Independent Science for Development Council, rather than directly to the System Council. The evaluation function also has limited discretion in deciding on the evaluation programme, which is developed with close oversight from the SIMEC (a standing committee of the System Council). Nevertheless, a three-year evaluation programme is in place, which is funded from core funds, although the extended transition period means that this has not yet been implemented. The existing evaluation policy is expected to continue in essence with some revisions, but stakeholders note some uncertainty around how CRP-commissioned evaluations will be supported and quality assured under the new arrangements. Uncertainty is expected to improve once the evaluation function recruitment is complete and implementation gets underway.

Quality evaluation standards are set in the 2012 Evaluation policy and the associated 2015 Evaluation Standards and other guidance documents that set out how quality is to be managed in System Council-commissioned evaluations and decentralised ones. It is expected that these will remain in the revised evaluation policy.

There is no formal requirement to demonstrate how lessons from past interventions have informed the design of new ones, although there is evidence that lessons have been drawn on an ad hoc basis, with variations across CRPs. Tracking poorly performing interventions through a universal system has been challenging in the CGIAR System context, although there is a new performance management process detailed in the 2019-21 business plan, designed to strengthen the identification and management of poorly performing interventions, at the CRP and Center level. A combined approach comprising reviews and evaluations of the past programmes, together with assurance on current research management systems provided through

system-wide performance standards is envisioned. This will be complemented by more regular results reporting through a dashboard, and more systematic inclusion of past lessons. There is a 12-point plan to deliver this, which has commenced but has not yet been fully implemented.

Accountability for responding to evaluations and implementing recommendations is set out in the ToR for the Advisory Services. The evaluation function is responsible for ensuring that recommendations, lessons and actions flow first to the System Council as the primary audience, and then to the relevant bodies – CRPs or Research Centers – to take ownership and monitor the actions. However, this mechanism has not been implemented yet**.** There is a complete and current repository of over 250 evaluation and review type documents from IEA and CRPs (ToR, reports and management responses) available on the IEA website. An overview of the status of evaluations, impact assessments and learning activities taking place across the System was reported in the 2017 Annual Performance Report.

MI 8.1: A corporate independent evaluation function exists	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.00**
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence)	1
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence)	0
Element 3: The evaluation office has full discretion in deciding the evaluation programme	1
Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence	1
Element 5: The central evaluation programme is fully funded by core funds	2
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	1
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence)	1
MI 8.1 Analysis	**Source document**
The evaluation function has been reformed and has been in transition since January 2019. The new evaluation function is one of three functions housed in the Advisory Services Shared Secretariat. The ToR specify that the whole Shared Secretariat is independent from the System Organisation's management, including its operational and policy units and decision-making. However, a wide range of interviews highlight that independence of the new evaluation function in practice is a matter of uncertainty: as the delivery arrangements for the new evaluation function have not been implemented, its independence has not yet been tested. There is no Head of Evaluation, but there is a Senior Evaluation Manager, who reports to the Head, Shared Services Secretariat, who in turn reports to the Chair of the Independent Science for Development Council (ISDC). The ISDC Chair and Head of Shared Services report to the System Council, although the ToR allow for direct inputs to the Council from technical staff such as the Senior Evaluation Manager envisioned if required. The evaluation office has limited discretion in deciding the evaluation programme, although these arrangements have not yet been implemented. The ToR for the Shared Services Secretariat specify that independent evaluations are commissioned by the System Council. The multi-year evaluation plan is delivered by the Head, Shared Secretariat, under the broad oversight of the Strategic Impact,	6, 36, 99, 102, 103, 104

Monitoring and Evaluation Committee (SIMEC). Any proposed major revisions to the approved Shared Secretariat work plan during a CGIAR business plan cycle must be approved by the System Council, based upon a review by SIMEC. The budget for evaluation is presented as one of three work streams under the Shared Services Secretariat. The ToR specify that, within the Shared Secretariat budget, operational costs to deliver on the three functional responsibilities are identified separately, such that there is clarity on the costs associated with delivering on the mandates of ISDC and SPIA and with implementing the CGIAR System's multi-year evaluation plan as approved by the System Council. These arrangements have not yet been implemented. The central evaluation programme is funded by core funds, with the most recent budget recommended for approval at the 2019 System Council meeting. However, the transition means that the programme has not yet been implemented, and so the funding has not yet been demonstrated. Evaluations are expected to be submitted to the appropriate levels for decision-making. Documents and interviews indicate that the rationale for reforming the evaluation function was to better ensure that the evidence from System Council-commissioned independent evaluations provides accountability and learning, in appropriate formats, to inform decision-making across the System on strategic opportunities. The evaluation work plan timeline is designed to align with the business plan cycles. This is captured in the ToR and work plan, although it has not yet been implemented. The ToR specify that the new evaluation function will manage the evaluation workflows in a way that ensures quality and independence of the evaluation process and evaluation reports. It will also proactively manage conflicts of interest that may affect the independence of evaluations. The ToR also mentions that SIMEC (System Council) has an oversight role to play in managing evaluation designs and workflows, which some interviews mention as a potential risk to independence. As above, these arrangements have not yet been implemented.	6, 36, 99, 102, 103, 104

MI 8.1 Evidence confidence	**High confidence**

MI 8.2: Consistent, independent evaluation of results (coverage)	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.20**
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	1
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	1
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	2
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	1
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	1

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MI 8.2 Analysis	Source document
There is an evaluation policy that describes in detail the principles to ensure coverage, quality and use. Interviews suggest that this policy needs to be updated to reflect the new delivery, oversight and governing arrangements for evaluation but that the core of the policy will continue. Given that the arrangements are still in a transition period (from 2019), it is not clear when the updating of the policy will take place. Some interviews suggest that there is uncertainty around how CRP-commissioned evaluations will be supported and quality assured under the new arrangements. The policy guides the implementation of different categories of evaluations, although this has not yet been implemented following the transition. A three-year evaluation plan is available and funded. This covers the business plan cycle for 2019-21 and presents a priority sequence of evaluations of CRPs. The budget is expected to be reviewed in mid-2019 due to the transition to the new evaluation function arrangements. The evaluation plan has not yet been implemented. The annual evaluation plan is part of the three-year plan, with interventions selected according to clear criteria. However, the extended transition period in 2019 means that in the short term, the planned evaluations may be scaled back to reviews, although no plans have been implemented yet. There is evidence that the evaluation policy was being implemented at the CRP level prior to 2019. A 2017 review document on the status of evaluations and learning exercises in CRPs shows over 100 CRP reviews, evaluations and impact assessments. However, interviews suggest that CRP-level evaluations have since tailed off and few CRP-level evaluations have been commissioned in 2019, pending the establishment of the new evaluation arrangements at the System-level.	6, 70, 76, 81
MI 8.2 Evidence confidence	**High confidence**

MI 8.3: Systems are applied to ensure the quality of evaluations	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.00**
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	1
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	1
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	1
Element 4: The methodology presented includes the methodological limitations and concerns	1
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	1
MI 8.3 Analysis	**Source document**
Quality evaluation standards are set in the 2012 evaluation policy and the associated 2015 Evaluation Standards and other guidance documents that set out how quality is to be managed in System Council-commissioned evaluations and decentralised ones. There is specific and separate guidance for System Council- and CRP-commissioned external evaluations for each stage, including peer and expert review. However, it is not known yet whether the same evaluation standards will be applied in the post-2019 arrangements for evaluation.	6, 41, 42, 43, 45, 46, 47, 48, 70

Previous evaluations have used appropriate methodologies for data collection, analysis and reporting, as mandated by the quality standards. It is not known yet whether these will continue to apply in the revised evaluation policy. The Independent Evaluation Arrangement (IEA) thematic and functional evaluations, together with the sample of CRP evaluations reviewed for this assessment, confirm that reports present the evidence, findings and conclusions in a complete and balanced way, as directed by the pre-2019 guidance. The methodology is also presented with limitations and concerns. It is not yet known if this will continue to apply in the revised evaluation policy. The evaluation policy specifies a system of quality assurance for all evaluations, using a building block approach where QA evaluations and data at the CRP level form the base of the data for evaluations at subsequent levels. External and internal peer review is to take place. It is not yet known if this approach will continue to apply in the revised evaluation policy.	6, 41, 42, 43, 45, 46, 47, 48, 70
MI 8.3 Evidence confidence	**High confidence**

MI 8.4: Mandatory demonstration of the evidence base to design new interventions	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.00**
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	1
Element 2: Clear feedback loops exist to feed lessons into new interventions design	2
Element 3: There is evidence that lessons from past interventions have informed new interventions	2
Element 4: Incentives exist to apply lessons learnt to new interventions	0
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	0
MI 8.4 Analysis	**Source document**
There is no formal requirement to demonstrate how lessons from past interventions have informed the design of new ones. The guidance for Phase 2 of the CRPs did include an assessment criterion on lessons learned, but without specific guidance. Many CRPs use evidence from evaluations in their CRP II proposals, as detailed in the IEA's desk review on the use of evaluation, although this was ad hoc. Over 25% of survey respondents rated the use of lessons learned in CGIAR as fairly or very poor. Annual CRP reports request information on how recommendations from external evaluations have been addressed, but this is not a formal requirement. There is a process detailed in the evaluation policy for feeding lessons into new interventions, though the evidence, from the IEA report on use of evaluation findings in the CRP II proposals, suggests that this happens more on an ad hoc basis than systematically. The Shared Services ToR adopts the same process, but it is not yet implemented under the new arrangements. There is evidence that lessons from past interventions have informed new ones, but interviews suggest that this has been partially implemented, with variations across CRPs. The 2017 desk review on the use of evaluations in CRP II proposals, quoted in the Annual Performance Report 2017, found: "129 citations of IEA evaluations in Program pre-proposals and proposals for the current CGIAR research programs, including 55 that validated the design choices made and 76 that had informed significant changes in program design."	3, 40, 81

Incentives to apply lessons learned are not present.	
The number/share of new designs that draw on lessons from evaluative approaches is not made public.	3, 40, 81

MI 8.4 Evidence confidence	**High confidence**

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**0.75**
Element 1: A system exists to identify poorly performing interventions	1
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	1
Element 3: A process for addressing the poor performance exists, with evidence of its use	1
Element 4: The process clearly delineates the responsibility to take action	0

MI 8.5 Analysis	**Source document**
The new performance management process detailed in the 2019-21 business plan is designed to strengthen the identification and management of poorly performing interventions, at the CRP and Center levels. A wide range of interviews suggest that the structure of the CGIAR System poses challenges to a universal performance management system, so a combined approach comprising reviews and evaluations of the past programmes, together with assurance on current research management systems provided through system-wide performance standards, is envisioned. This will be complemented by more regular results reporting through a dashboard and by more systematic inclusion of past lessons. There is a 12-point plan to deliver this, which has commenced although has not yet been fully implemented. There is a system being developed for addressing and tracking the status of poor performance, involving the co-ordination of management responses to System-wide evaluations, and for monitoring the actions of programme-level evaluations, by both the Advisory Services and the Program Team in the System Office. This has not yet been implemented. The process has not been developed in detail yet, so it is not present.	2

MI 8.5 Evidence confidence	**High confidence**

MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.00**
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	1
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	1
Element 3: A timeline for implementation of key recommendations is proposed	1
Element 4: A system exists to regularly track status of implementation	1
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	1

MI 8.6 Analysis	Source document
Evaluation reports have up to now included a management response, as required in the evaluation policy. Interviews suggest that the intention is to continue this practice, but it is not yet known if this will be the case under the anticipated revised evaluation policy. The same applies to management responses, most of which have previously included action plans with associated responsibilities and timelines, but it is not yet known exactly how this will function under revisions to the evaluation policy. There is no evidence that the previous system tracked the status of implementation, as it was the first cycle of evaluations. However, the post-2019 process explicitly incorporates a review of the status of implementation of previous actions to inform the next cycle of evaluations, although this has not been implemented yet. The 2017 Annual Performance Report outlined an ad hoc review of use and implementation of evaluation recommendations.	91, 92, 93, 94, 95, 96, 97
MI 8.6 Evidence confidence	**High confidence**

MI 8.7: Uptake of lessons learned and best practices from evaluations and other reports	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: A complete and current repository of evaluations and their recommendations is available for use	4
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	2
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	1
Element 4: A system is available and used to track the uptake of lessons learned	0
Element 5: Evidence is available that lessons learned and good practices are being applied	2
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	3
MI 8.7 Analysis	Source document
There is a complete and current repository available on the IEA website, with over 250 evaluation and review-type documents from IEA and CRPs: ToR, reports and management responses. The ToR for the Advisory Services specifies that the evaluation function is responsible for distilling lessons**.** From there, the dissemination pathway goes first to the governing bodies as the main audience for lessons from evaluation: System Council and also the Strategic Management Board. From here, the Advisory Services will have a role in ensuring that lessons and actions flow to the relevant bodies – CRPs or Research Centers – to take ownership and monitor the actions. However, this mechanism has not been implemented yet**.** Interviews highlight that, informally, the MEL Community of Practice is a vibrant space for sharing lessons, collaboration and learning between the MEL focal points in the CRPs, the Program Team and SPIA. There have also been ad hoc syntheses, e.g. SIMEC commissioned the synthesis reports that captured lessons from 20 (15+5) CRP evaluations. This was found to be a useful process that identified some high priority themes to address. Interviews suggest that dissemination of lessons to stakeholders is led by CRPs themselves and that approaches vary from CRP to CRP.	3, 20, 29, 30, 32, 33, 34, 35, 41, 42, 43, 45, 46, 47, 48, 81

There is no evidence of a system to track the uptake of lessons learned, rather an ad hoc desk exercise to review lessons learned was completed by IEA in 2017.

There is some evidence that lessons and good practices are being applied in CRPs, from interviews and the already-mentioned ad hoc exercise tracking uptake and use. An overview of the status of evaluations, impact assessments and learning activities taking place across the system was reported in the 2017 Annual Performance Report.

MI 6.6 discusses the CGIAR Open Access and Data Management Policy. This was formally approved in October 2013, setting out the expectations on research data management in line with the CGIAR Open Access and Data Management Implementation Guidelines. CGIAR is also preparing for IATI compliance. There is no explicit mention of including evaluation data, although a significant amount of evaluation information is already available.

3, 20, 29, 30, 32, 33, 34, 35, 41, 42, 43, 45, 46, 47, 48, 81

MI 8.7 Evidence confidence	High confidence

RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals	KPI score
Satisfactory	**3.00**

The sample reviewed for assessment comprised over 15 reports. This included 2 IEA syntheses reports of CRP evaluations; 7 IEA evaluations of CGIAR Research Programs; IEA evaluations on gender, partnership and capacity development; the SPIA report on Impact of CGIAR's Agricultural Research for Development; the 2017 CGIAR Annual Performance Report; as well as a selection of CRP annual reports.

The available evidence indicates CGIAR is performing well in achieving development objectives, although the variable availability of evaluative evidence and impact assessments is an issue in considering CGIAR's development results. The need for increased investment in impact assessments was generally supported across management responses to evaluations.

Evidence shows that CGIAR is performing well through its traditional engagement with national agricultural research systems to improve good governance, although evaluations also note potential additional benefit from the adoption of more strategic approaches to capacity development. In addition, documents indicate a positive CGIAR contribution to the development of policies and programmes, while also acknowledging the obvious challenges in assessing CGIAR impact in this regard (and the subsequent limits on available evidence). Climate change is identified as an area of positive CGIAR contribution, although evaluations indicate the potential to refine the engagement on broader environmental sustainability.

CGIAR has established a significant body of work on gender equality and women's empowerment. Much of this, however, is in its infancy with pockets of good practice, while evidence of performance is currently more anecdotal than analytical. Available impact assessments also noted very little attention devoted to gender and wider socioeconomic issues. Evidence on human rights is somewhat limited, and outcomes mixed. Much of CGIAR's work on human rights is through PIM's Systemwide Program on Collective Action and Property Rights (CAPRi) and the protection of farmer's rights with some work undertaken under other CRPs. An area of weaker performance is the extent to which CGIAR interventions have realised positive benefits for target group members. The assessed evaluations and synthesis reports include very little specific reference to intended beneficiaries and target group members, with poverty impacts often affected by long lag periods in terms of uptake of agricultural technologies and modern seed varieties.

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attained expected results	Score
MI rating	**Satisfactory**
MI score	**3**
MI 9.1 Analysis	**Source document**
Overall, the evidence indicates that CGIAR is satisfactorily meeting its development objectives, although the variable availability of evaluative evidence and impact assessments is an issue in considering CGIAR's development results. The sampled evaluative evidence shows generally positive progress towards outcomes in different sectors, e.g. PIM noted outcomes at global and local levels. RTB and the CGIAR Research Program on Livestock and Fish (L&F) showed good progress towards outcomes and milestones while also noting some areas of under-achievement, and the Genebank evaluation indicated a positive trajectory for improvement. The variability of evaluative evidence is affected by four system-wide factors: • the global and System-level nature of the development outcomes defined in the SRF that make tracing CGIAR's contribution challenging, requiring specialised, large-scale impact assessment and adoption studies • the long timeframes and complex pathways to impact associated with agricultural research for development (AR4D), which mean that current evaluations and impact studies are picking up outcomes from legacy research • the organisational architecture of CGIAR, with decentralised and semi-autonomous entities (CRPs and Research Centers) responsible for delivering outputs and promoting outcomes in numerous sectors and countries • a mosaic approach to evaluation and impact assessment, shared between Research Centers, CRPs, and two separate System-level evaluation and impact assessment functions. Measures to improve the coverage and consistency of the evidence base, the quality of data and the methods for tracking development outcomes and to increase the number of studies are in place, although they are at an early stage.	3, 28, 41, 42, 46, 47, 48, 79, 98
MI 9.1 Evidence confidence	**Medium confidence**

MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members	Score
MI rating	**Satisfactory**
MI score	**3**
MI 9.2 Analysis	**Source document**
The evidence suggests that CGIAR interventions are contributing at a satisfactory level to the expected positive benefits for target group members, although the evidence is mixed and suggests that benefits may fall short of the expected global scale, due to the inherent challenges of tracking large-scale outcomes from AR4D. CGIAR's direct beneficiary groups are conceptualised as poor farming households, both women and men. CGIAR's high-level outcomes relating to reduced poverty and improved food security are intended to benefit low-income families at scale across the broader population in LMICs. In support of at-scale benefits being realised, the synthesis of impact assessment studies from the Strengthening Impact Assessment in CGIAR (SIAC) Program notes: "A rough estimate is that SIAC results provide new or updated evidence that 3.61 million	3, 28, 46, 79, 98

farm households were using CGIAR research-related innovations and that 4.11 million hectares of crop or grassland area were under CGIAR research-related or CGIAR-selected technologies in 2015/2016."

However, the evidence is somewhat mixed, as the CRP evaluations and synthesis reports make little specific reference to intended beneficiaries and target group members. Subsequently, the orientation of impact reporting is limited; for example, of the seven CRP evaluations reviewed, only RTB makes specific reference to target groups with associated positive results.

The tracking of intended benefits for target group members is further affected by the challenges noted in MI 9.1 about the time-lags and complexity of the pathways to impact for AR4D. The Annual Performance Report 2017 notes two important issues identified through specialist impact studies. First, farmers have difficulties in reliably identifying the crop varieties they are growing, which highlights the need to develop methods for varietal adoption studies at scale. Second, there are low rates of take-up of farming practices and technologies beyond on-farm and project sites. Both these findings indicate the need for studies to focus more on the barriers to adoption at scale and to better understand the complex pathways to impact of particular agricultural innovations.

3, 28, 46, 79, 98

MI 9.2 Evidence confidence	**High confidence**

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms	Score
MI rating	**Satisfactory**
MI score	**3**
MI 9.3 Analysis	**Source document**

The evaluative evidence assessed indicates that CGIAR is making a satisfactory contribution to national development policies and programmes, although the documents reviewed acknowledge the challenges in assessing the impact of CGIAR research on development policies and programmes, as well as the subsequent limitations to the evidence. Both the Annual Performance Report 2017 and the SPIA note on policy outcomes (2006-14) highlight numerous examples of policies, legal instruments and investments to which CGIAR has contributed, including:

- support by LIVESTOCK researchers and partners to develop the Livestock Master Plan which was adopted by the Ethiopian government and then used by various actors, including the World Bank, which will ultimately impact more than 2.3 million of Ethiopia's 11 million livestock-keeping households. The International Livestock Research Institute (ILRI) contribution to livestock development in Ethiopia was recognised by an honorary award from the government in November 2017.

- CGIAR research informed investment of USD 21.5 billion by the Indian government to provide 2.75 million grid-connected solar irrigation pumps to farmers and farmer co-operatives.

3, 28, 41, 42, 46, 90

Two CRP evaluations (L&F and RTB) noted that the limitations of the evidence base arise from the lack of impact assessment studies in CRP evaluations and the inherent challenges in terms of resourcing impact assessment studies with episodic research funding.

MI 9.3 Evidence confidence	**High confidence**

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women	Score
MI rating	**Unsatisfactory**
MI score	**2**
MI 9.4 Analysis	**Source document**
Evidence suggests that CGIAR interventions are unsatisfactory in terms of contributing to improved gender equality and the empowerment of women; while a considerable range of work is currently underway, so far this represents isolated pockets of good practice and has not translated into tangible evidence of gender outcomes. The synthesis of 15 CRP evaluations noted many examples of interesting gender research, alongside an array of successful initiatives for involving women in field research activities, such as participatory breeding and participatory technology development. Other methodological advances include integrating gender into assessments of research needs and the design of capacity building initiatives. However, only one CRP (RTB) was systematically disaggregating data by gender, despite the fact that in most CRP researcher surveys, more than half of the staff members believe that gender disaggregated data on results are collected whenever appropriate. The synthesis evaluation noted that even when disaggregated data is being collected, it currently looks more anecdotal than analytical, as it is not clear how these data are being used, since beyond descriptive data, few evaluations found publications that report or analysed it. In a separate area, the evaluation of capacity development found a rising trend in the inclusion of women in short- and long-term training, although it did not find gender disaggregated data on the effectiveness of capacity development (CD) or an analysis of how a gender-sensitive design had shaped effectiveness.

A further negative finding in the synthesis of 15 CRP evaluations (drawing from evaluations of the CGIAR Research Program on Grain Legumes and Dryland Cereals, the CGIAR Research Program on Global Rice Science Partnership, L&F, and WHEAT) was the low or mixed quality of gender research to understand social and cultural systemic barriers to women's equitable access to opportunities and resources or the impacts of technology adoption or policy interventions on women, with the exception of A4NH. This highlighted a potential risk of mainstreaming a superficial, low-cost "gender fix", rather than promoting an in-depth, evidence-informed gender analytical lens.

Echoing this, the SIAC impact assessment synthesis report notes a need for greater consideration of gender as an explicit part of impact assessments: "[V]ery little attention was devoted to gender and wider socioeconomic heterogeneity. With a few exceptions, the SIAC studies did not consider gender or other relevant socioeconomic dimensions. Even disaggregation of outcomes by sex or other relevant socioeconomic dimensions (such as age, caste or ethnic group, farm size or type, farmers' education levels, wealth status) was done in only a few studies. More attention should be paid to ensuring that heterogeneity is well addressed in future CGIAR impact assessments." | 3, 11, 28, 41, 46, 98 |
| **MI 9.4 Evidence confidence** | **High confidence** |

MI 9.5: Interventions assessed as having helped improve environmental sustainability/ helped tackle the effects of climate change	Score
MI rating	**Highly satisfactory**
MI score	**4**

MI 9.5 Analysis	Source document
Evaluations indicate a highly satisfactory contribution by CGIAR in tackling climate change, with room to strengthen impact on environmental sustainability. Availability of evaluative data is again identified as a significant issue and an area for improvement. Regarding climate change, CGIAR's engagement is led through the CCAFS research programme with evaluative evidence indicating a strong contribution to global and national efforts. The IEA Evaluation of the CCAFS concludes CCAFS is "responding to both global demand of climate change research related agriculture and food security, coming from international negotiation and review processes, and the CGIAR high level goals, and to users demand at national and regional level." As appropriate, climate related work is also undertaken within other CRPs. For example, the IEA Evaluation of L&F notes ILRI's strong tradition of large-scale modelling of climate vulnerabilities and impacts, as well as global-level reviews of livestock, environment and climate interactions. The evaluation goes on to state that this has resulted in "very important and well-executed modelling exercises with very significant global policy implications, and overall progress should be adjudged excellent." Supporting these insights, the Annual Performance Report 2017 notes the "instrumental" role of "research and engagement by CCAFS, WLE [CGIAR Research Program on Water, Land and Ecosystems] and FTA in UNFCCC [United Nations Framework Convention on Climate Change] 23rd Conference of the Parties (COP23) decisions that will result in a greater focus on agriculture in climate action plans." On biodiversity and environmental sustainability, the evidence from evaluations and impact assessment studies suggests that while a range of research in the CGIAR portfolios, particularly in forestry, have important potential to promote environmental outcomes, this potential is not yet being optimised or measured through impact assessment or evaluation.	3, 41, 42, 45, 79, 96

MI 9.5 Evidence confidence	High confidence

MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1c)	Score
MI rating	Satisfactory
MI score	3

MI 9.6 Analysis	Source document
The definition of good governance used in the assessment focuses on the approach that CGIAR takes to partnerships and capacity building with national-level entities, particularly the National Agricultural Research Systems (NARS). In this context, evaluative evidence indicates satisfactory performance overall, although evaluations also note that a more strategic and consistent approach across the system would strengthen efforts and enhance sustainability. The 2017 evaluation of capacity development across the CGIAR highlights that CGIAR has provided national government agencies, programmes and communities with analytical tools and capacity to apply them, as well as contributing to institutional capacity through both the establishment of new entities and infrastructure and the provision of policy advice. The evaluation notes a specific IFPRI initiative, ASTI1, that provides data on agricultural research systems across the developing world; this supports the perception that CGIAR is considered a leader in the assessment of science and technology investments and in the provision of information and analysis of NARS's capacity needs.	18, 28, 46

However, the evaluation found that CGIAR does not draw on the ASTI1 knowledge in a strategic manner to guide its capacity development activities and, further, that there is no CGIAR-wide strategic framework reflecting i) the structure and capacity needs of national and regional agricultural research and development systems, the principal actors and agendas already in place to address these, and ii) how CGIAR should address such needs, together with its partners. This risks atomising efforts to build the capacity of national partners and strengthen them as national actors. This finding is supported by the IEA Synthesis of 15 CRP Evaluations which notes some limitations on the extent to which this truly builds governance outcomes, because, in many instances, NARS partners are more involved in research implementation and outreach but less in research prioritisation, project planning and design, and publishing research results, including co-authorship. One exception is RTB, as the IEA evaluation of the RTB notes that the CRP has developed new ways of working to promote the sustainability of partnerships with NARS by involving them more equitably with project design, implementation and joint publications.	18, 28, 46

MI 9.6 Evidence confidence	High confidence

MI 9.7: Interventions assessed as having helped improve human rights	Score
MI rating	Satisfactory
MI score	3
MI 9.7 Analysis	Source document
CGIAR's overall performance regarding human rights is satisfactory, although the coverage in programmes is somewhat limited, and outcomes mixed. As noted in MI 2.1 discussion, CGIAR has no dedicated policy statement on human rights. CGIAR contribution is primarily through CAPRi and the protection of farmers' rights. Most notably, the IEA evaluation of the PIM research programme notes, "CAPRi has been a world-wide leader in terms of applied research on the local governance of natural resources in developing countries." The evaluation states that CAPRi and related programming have "produced research that has informed decision-making", including CAPRi support for the acquisition of common property rights in India and a new inland fisheries policy by the Government of Cambodia which recognises the rights of multiple interests, including local fishing communities. In another example, the Annual Performance Report 2017 notes some positive examples on human rights including: "National agroforestry concession legislation enabled land and tree rights that underpin livelihoods for 120,000 households at the Amazon forest frontier in Peru." Evaluations suggest that CGIAR's consideration of property rights could be improved. Evaluations note that, while the importance of human rights issues such as land ownership is considered in applied research, there is often no insight into how CGIAR and/or a boundary partner are taking actions forward to achieve positive human rights outcomes. For example, the IEA evaluation of the FTA research programme notes that many of the emerging opportunities and challenges in the form of deforestation and forest degradation drivers lie outside the forests and the forest sector, with communal land ownership and unclear tenure and property rights in the face of clearing and land grabbing posing major challenges. The evaluation notes that the FTA programme has been weaker at dealing with extra-sectoral issues than direct forest issues, including land rights and tenure, and in identifying actions and mechanisms for addressing these.	3, 20, 45, 47

MI 9.7 Evidence confidence	High confidence

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate	KPI score
Satisfactory	**2.67**

CGIAR's interventions are found to be well aligned with national development goals and objectives. However, the extent of alignment with the needs of beneficiaries is limited.

While CRPs have used demand-side approaches, these appear more focused on the needs of national partners than the targeted beneficiaries. Four of the seven IEA assessments analysed raised concerns regarding the extent to which beneficiary needs are explicitly considered as part of CGIAR interventions.

Evaluations highlight CGIAR is performing well in terms of coherence with other actors. Throughout reporting, the importance of coherence to CGIAR, as an agricultural research organisation, is also regularly underlined. CGIAR's genebank Research Centers and CCAFS participation in UNFCCC processes provide strong examples of CGIAR fulfilling its role as part of broader international development systems. Evaluations also indicate a strong and growing engagement with the private sector.

Opportunities for improvement include the potential for greater coherence across Research Centers and CRPs with the CGIAR System and for a more systematic and strategic approach to partner selection, with many existing partnerships based on legacy more so than strategic best fit.

MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups	Score
MI rating	**Unsatisfactory**
MI score	**2**
MI 10.1 Analysis	**Source document**

The evaluative evidence suggests that CGIAR interventions' responsiveness to the needs and priorities of target beneficiary groups is limited and unsatisfactory, with existing user-side consultations focusing on the needs of national partners rather than low-input farming households and communities. Four of the seven IEA assessments analysed raised questions regarding the extent to which beneficiary needs are explicitly targeted. The IEA Synthesis of 15 CRP Evaluations notes: "[A]ll CRPs have used demand-side approaches to allow users to express priorities." The detailed discussion, however, reveals these approaches are primarily focused on national partners, which while promoting relevance do not encompass an explicit consultation of beneficiary priorities. IEA evaluations of RTB, WHEAT, PIM and FTA all raise questions regarding the extent to which beneficiary needs are explicitly targeted. Specifically, the WHEAT evaluation notes: "Detailed information on the target groups was provided only for a few projects. A small number of cases had no information on the intended beneficiaries. In general, the main target beneficiaries are identified only as 'poor farmers' or 'poor wheat growers' in the region or country of interest. Moreover, while poor wheat consumers are also intended beneficiaries of WHEAT activities, wheat consumers as targeted beneficiaries were mentioned in only one of the 34 projects analysed. In addition, the needs and priorities of the target beneficiaries were often implicit at best." Similar reservations are expressed in other CRP evaluations: • The RTB evaluation notes: "[T]he researcher survey revealed some scepticism that RTB is aligning research to better target beneficiary needs. Alignment should be enhanced in the new program structure where geographical and beneficiary targeting is driven by defined needs of beneficiaries in each Flagship Program."	28, 42, 45, 79

• The PIM evaluation states "that a large number of projects originated with requests from international donors like the Gates Foundation for the Global Futures project, USAID for the Women's Empowerment in Agriculture Index, and the European Commission … therefore, the extent to which these research activities also reflected the needs and priorities of the rural poor in developing countries was not always immediately apparent." • The FTA evaluation reports that, "despite the overall positive comments about the relevance of FTA research, global and regional partners also expressed concerns that the relevance suffers too often from the 'case study approach', and also from being too theoretical and 'high level'".	28, 42, 45, 79
MI 10.1 Evidence confidence	**High confidence**

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 10.2 Analysis	**Source document**
CGIAR's interventions are found to be satisfactorily aligned with national development goals and objectives through CGIAR's strong engagement with national partners. The IEA Synthesis of 15 CRP Evaluations notes that most evaluations found that national partners broadly endorsed the CRP strategic frameworks. Activities and outputs are generally appreciated and well-aligned to the needs and priorities of intermediary users. Only PIM's survey of partners found the need for more bottom-up approaches to improve demand-side relevance.	28, 42, 45, 79
MI 10.2 Evidence confidence	**High confidence**

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 10.3 Analysis	**Source document**
Overall, the assessed evidence indicates CGIAR is performing satisfactorily in terms of working coherently and effectively with other development actors, at national and international levels, with scope for strengthening the strategic selection of partners. The IEA Synthesis of 15 CRP Evaluations highlights the importance of coherence with development partners as the critical link in the AR4D paradigm for effective scaling out strategies. National-level examples include partnerships with the NARS and NGO-led development projects, while across the assessed evidence there are several strong examples of CGIAR engagement as part of broad international systems, e.g. Genebanks' co-ordination and strengthening of CGIARs genebank Research Centers under the auspices of the Food and Agriculture Organization and the International Treaty on Plant Genetic Resources for Food and Agriculture; also, the Annual Performance Report 2017 notes the contribution of CCAFS to global systems, stating that the research and engagement by CCAFS, WLE and FTA were instrumental in a UNFCCC 23rd Conference of the Parties (COP23) decision supporting greater focus on agriculture in climate action plans. Several evaluations also noted a growing engagement with the private sector. A survey conducted under the 2017 IEA Evaluation of Partnerships in CGIAR showed that partnerships with private sector entities has increased from 19% in the pre-CRP period to 28%. Private sector actors being engaged range from seed companies and tissue culture labs to manufacturers of irrigation	3, 28, 41, 45, 47, 48, 78

technologies and beverage companies with an interest in water management. WLE was also found to be working with large-scale multinational companies (such as Unilever and Nestle) that are interested in incorporating sustainability into their operations. However, the IEA Synthesis of 15 CRP Evaluations notes that many evaluations found that the choice of partners was often based on legacy research and opportunistic linkages, rather than on a systematic and strategic selection process. Even in those cases where CRPs had developed a formal Partnership Strategy (e.g. A4NH, CCAFS, WLE), the evaluations saw room for improvement, especially in terms of providing clear operational guidelines for the choice of partners. As noted in some evaluations (e.g. PIM), the choice of partners should be guided by the ToC and the Impact Pathways, but, in practice, this link seems to be still evolving. Opportunities for greater coherence within the CGIAR structure were also identified.	3, 28, 41, 45, 47, 48, 78
MI 10.3 Evidence confidence	**High confidence**

KPI 11: Results are delivered efficiently	KPI score
Satisfactory	**3.00**

Evaluative and performance reporting indicates that CGIAR is broadly resource efficient and demonstrates the timely achievement of results.

The CRP structure appears to have enabled efficiencies through common protocols and tools. However, evaluations note that the potential value added of CRPs is much higher than what has recently been realised. CGIAR's additional transaction costs in terms of co-ordination and reporting are also noted.

CGIAR has demonstrated a willingness to explore opportunities for greater value and cost efficiencies, with a range of initiatives underway such as outsourcing and the adoption of management information systems. Looking to the future, an increased focus on measuring efficiency is expected, including more systematic performance reporting. Annual reporting indicates general and administrative costs declined by about 1% in 2017.

Evidence on the overall timeliness of programme implementation and results is limited. Management reporting indicates that CGIAR interventions are broadly on track.

MI 11.1: Interventions assessed as resource/cost-efficient	Score
MI rating	**Satisfactory**
MI score	**3**
MI 11.1 Analysis	**Source document**
The assessed evaluative and management reporting indicates that CGIAR is satisfactory in its resource efficiency, with scope for further efficiencies to be made; however, transaction and administration costs associated with the Research Centers and portfolio architectures continue to constrain resource efficiency. The Annual Performance Report 2017 indicates 85% of CGIAR expenditure is related to research (led by CGIAR and its partners) and 15% to general, administration and System-level costs. The report also notes general and administrative costs (including System-level costs) declined by about 1% of the total expenditure from 2016 to 2017. Several examples of a positive willingness for CGIAR to innovate and explore opportunities for increased efficiency already exist, particularly through the use of outsourcing. For example, the Excellence in Breeding Platform has promoted outsourcing to "High ThroughPut Genotyping" services, as opposed to carrying out genotyping in-house, with better data quality and faster turnaround time indicated, as well as overall cost reductions of between 25% and 50% depending on the Center and crop. The adoption of management information systems across CGIAR is also seen as a major opportunity for increased efficiency in planning AR4D activities and reporting results. The Annual Performance	3, 28, 42

Report 2017 notes both increasing adoption of MISs across Research Centers and CRPs and the expectation that they be adopted by all parts of CGIAR in 2018; work is underway to ensure that all MISs are interoperable, so that they can be drawn on for central reporting and learning. The Annual Performance Report 2017 indicates that future Annual Performance reports should cover efficiency improvements more systematically, with an expectation that this will lead to an increased focus on efficiency. The IEA Synthesis of 15 CRP Evaluations notes adoption of the CRP structure has enabled efficiencies to be realised through common protocols and tools, although the synthesis also indicates there remains significant scope for additional efficiency/value added gains from integration as the CRP models mature and evolve. However, the synthesis report notes that all evaluations commented on the additional administration costs associated with the CRP structure, including increased transactions costs for CRP managers to co-ordinate and comply with CRP requirements for reporting, and for scientists in terms of additional planning and reporting.	3, 28, 42
MI 11.1 Evidence confidence	**High confidence**

MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 11.2 Analysis	**Source document**
Management reporting indicates CGIAR interventions are broadly on track against planned milestones, noting satisfactory performance, although evidence on the overall timeliness of implementation and results is limited. While stating that agricultural research for development necessarily involves long timelines for results to emerge, the Annual Performance Report 2017 which presents overall progress for each CRP achievement against each planned milestone, indicates that 71% of planned milestones are complete, 22% extended, 6% partially complete and 1% cancelled.	3, 41
MI 11.2 Evidence confidence	**High confidence**

KPI 12: Results are sustainable	**KPI score**
Satisfactory	**2.67**

Overall, the evidence available shows that the benefits of CGIAR interventions are assessed to likely continue after project or programme completion.

CGIAR support for knowledge transfer, for greater access to seed and germplasm systems, and for increasing engagement with the private sector is improving the environment for sustainability. CGIAR genebanks represent the largest and most widely used collections of crop diversity in the world, and the recent adoption of new management systems, Genesys and GRIN-Global, have improved user access. Evaluations note CGIAR's comparative advantage in generating research-based data for a wide range of countries and agro-ecologies and in making it publicly available, but they note more could be made of this opportunity.

Evidence of sustainability in CGIAR's work to build the institutional and/or community capacity is more limited. While evaluations on partnerships and capacity development are generally positive about individual interventions, there is limited evidence of cumulative impact, with evaluations reporting the need for more strategic approaches to capacity development.

Evaluations consistently note that the full consideration of the sustainability in CGIAR interventions is impacted by the nature and limited number of impact assessments being undertaken and a need for improvements in this regard. Some changes in terms of understanding sustainability are underway, including the 2017 adoption of Outcome-Impact Case Reports. The 2017 Annual Report also indicates positive trends in the promotion of open data access through the Big Data Platform initiative.

MI 12.1: Benefits assessed as continuing or likely to continue after project programme completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term developmental results	Score
MI rating	**Satisfactory**
MI score	**3**
MI 12.1 Analysis	**Source document**
Overall, the benefits of CGIAR interventions are assessed as likely to continue after project or programme completion, although there is a high dependency on development partners to promote outcomes and impact at scale, and issues persist concerning coverage in impact assessment (IA) studies and methodological challenges in tracing complex pathways between agricultural research and innovation to long-term, sustained benefits at scale. The SPIA synthesis of 25 IA studies notes that there is reliable evidence of long-term impact, including five large-scale adoption studies across six country contexts that provided new evidence of 3.61 million farm households and 4.11 million hectares of crop or grassland area under technologies related to CGIAR research. The synthesis of 15 CRP evaluations notes the dependence of CGIAR on development partners for achieving outcomes and sustaining them – the contribution of the CRP is to choose the right partners, engage their interest and work with them to create outputs that can be delivered by them or others to promote development outcomes and impact in the long term.

While noting the above, the assessment team recognises that CGIAR's consideration of sustainability has improved since the 2015 evaluations. Since 2017, information on policy uptake and uptake of technologies by boundary partners (e.g. seed companies, national extension systems) are systematically collected in Outcome-Impact Case Reports and the Policies indicator of the monitoring system. These both have "levels of maturity" so uptake can be tracked from early stages to approved policy/adoption by farmers at moderate scale and to adoption and impact at scale. Obviously not every innovation from R&D will be sustained, but this approach will help to track and evaluate sustainability and contributing factors. Improved outcome reporting is also starting to feed into planning of future impact studies as all claims must be evidenced. Improved outcome reporting along impact pathways will support a fuller assessment of the sustainability of CGIAR interventions in the future. | 28, 41, 42, 47, 98 |
| **MI 12.1 Evidence confidence** | **High confidence** |

MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government	Score
MI rating	**Unsatisfactory**
MI score	**2**
MI 12.2 Analysis	**Source document**
Evaluations on partnerships and capacity development (CD) find little evidence of cumulative contributions to institutional and/or community capacity made by CGIAR, or of the extent to which this is sustainable, although evaluations are mostly positive about individual interventions; in general, evaluations call for the adoption of more strategic approaches to CD to strengthen effectiveness and sustainability. The IEA Evaluation of Capacity Development in CGIAR (discussed in MI 9.6), found that CGIAR strengthens institutional capacity through many approaches, although it notes little evidence of the longer-term effectiveness and sustainability of efforts to strengthen organisational and institutional capacity in agricultural research and development, including through the CGIAR's widely used innovation platforms. The CD evaluation discusses	18, 28

the dependence of many CD activities on external and project-level funding, which constrains the potential for sustainability when the funding ends, despite the successful use of "sunset" and transition strategies in many initiatives. Further, the evaluation notes that this often "projectised" approach to CD stands in contrast to principles for effective and sustainable CD that calls for planning and implementation of CD as a long-term, locally-owned process. The IEA Synthesis of 15 CRP Evaluations includes similar findings, noting that "several evaluations (e.g. AAS [CGIAR Research Program on Aquatic Agricultural Systems], CCAFS, PIM, WLE) point out that these activities have not been guided by an explicit capacity development strategy, and criteria for priority setting were often not clear". However, the synthesis also notes the positive influence of the CD Community of Practice in moving towards a more strategic approach with the development of a Capacity Development Framework.	18, 28

MI 12.2 Evidence confidence	**High confidence**

MI 12.3: Interventions assessed as having strengthened the enabling environment for development	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 12.3 Analysis	**Source document**
CGIAR is assessed to have satisfactorily enabled the environment for development through supporting knowledge transfer; improving access to seed and germplasm systems; supporting a networkto help local governance of natural resources; increasing engagement with the private sector; and improving global data on SDG-related trends, with scope for continued strengthening of its contribution. CGIAR support for enhanced knowledge transfer is underpinned by its 2013 adoption of a "CGIAR Open Access and Data Management Policy". Positive trends in terms of knowledge sharing are noted in the Annual Performance Report 2017, including a prototype system, developed with the support of the Big Data platform, that enables a "one-stop" search across 30 or so Center data and publications repositories. This tool, Global Agricultural Research Data Innovation & Acceleration Network (GARDIAN), enabled access to about 50 000 publications and 1 800 datasets by the end of 2017, an increase of about 15% for datasets from the previous year. Further GARDIAN features were also planned for 2018. Evaluative evidence indicates CGIAR has positively supported improved access for users of seed and germplasm systems, through the development of genebank quality management systems and harmonising of genebank standards. The IEA Evaluation of Genebanks notes two pieces of software that underpin this work, namely Genesys, as a global portal for plant genetic resources information, and GRIN-Global, a genebank information management system. The Annual Performance Report 2017 also states: "[A] special mention is made of CGIAR genebanks, which represent the largest and most widely used collections of crop diversity in the world, with 768,576 accessions, including 25,301 in vitro accessions and 28,063 accessions held as plants or trees in the field. In 2017, 109,339 germplasm samples were provided by CGIAR genebanks to users (including CGIAR breeders). A total of 61,376 samples were distributed outside CGIAR, in 95 countries." The IEA Evaluation of the PIM research programme also notes the role of CAPRi as a network for practitioners who work on the local governance of natural resources in developing countries. It states, "CAPRi has established itself as a central node of excellence for both scholars and practitioners … this network has clearly benefited the CGIAR System, not just PIM and IFPRI, but has also made a mark on the field of common-pool resource studies as a whole".	3, 28, 42, 46, 47, 48

Several evaluations have noted a growing engagement with the private sector, as well as with value chain and market actors. A survey conducted under the 2017 IEA Evaluation of Partnerships in CGIAR showed that partnerships with private sector entities have increased from 19 % in the pre-CRP period to 28%. Private sector actors being engaged range from seed companies and tissue culture labs to manufacturers of irrigation technologies and beverage companies with an interest in water management. The Annual Performance Report 2017 notes that plans are well underway to generate social and economic value from collaboration with industry which, if effective, will contribute to the enabling environment for development.

Finally, the Annual Performance Report 2017 notes that CGIAR programmes and entities are helping to improve global data and data collection methods in SDG-related areas which are often complex to measure. Global data is incomplete in many areas, and CGIAR is one of the main contributors to improved data, with CGIAR researchers contributing to data collection methods and data on international tracking of nutrition, water use, adoption of crop varieties and innovations, forest cover, and climate change. In its reporting against the targets in the SRF, CGIAR is also tracking available information on global progress against each target. This helps identify areas which are most off track globally and may need additional investment (e.g. in actions/research to tackle each area and/or in gathering more evidence on impact of existing actions).

3, 28, 42, 46, 47, 48

| **MI 12.3 Evidence confidence** | **High confidence** |

Annex 2. List of documents

All document listed below are CGIAR publications or official open access documents, unless indicated otherwise.

1. CGIAR, *CGIAR Strategy and Results Framework 2016-2030: Redefining How CGIAR Does Business Until 2030,* CGIAR, n.d.
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19. CGIAR, *CGIAR Strategy and Results Framework 2016-2030: Redefining How CGIAR Does Business Until 2030,* CGIAR, n.d.
20. CGIAR PIM, *2017 Annual Report,* CGIAR Research Program on Policies, Institutions and Markets (PIM), 2017.
21. CGIAR Genebank Platform, *2017 Annual Report CGIAR Genebank Platform,* CGIAR Genebank Platform and Crop Trust, 2017.
22. CGIAR CCAFS, *The CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) Annual Reporting for 2017,* CGIAR Research Program on Climate Change, Agriculture and Food Security, 2018.
23. CGIAR RTB, *Annual Report 2017* [Internet], CGIAR Research Program on Roots, Tubers and Bananas (RTB), 2017. Available from: http://hdl.handle.net/10568/97428.
24. CGIAR Research Program on Forests, Trees and Agroforestry, *CGIAR Research Program on Forests, Trees and Agroforestry (FTA) Annual Report 2017,* Center for International Forestry Research (CIFOR), 2018.
25. CGIAR, *CGIAR Principles on the Management of Intellectual Assets ("CGIAR IA Principles"),* CGIAR, 2012.

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27. CGIAR, *Consolidated Report on CGIAR Research Work Plans*, CGIAR, 2017.

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29. CGIAR FTA, *Forests, Trees and Agroforestry Plan of Work and Budget (POWB) for 2018,* CGIAR Research Program on Forests, Trees and Agroforestry (FTA), 2018.

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Annex 3. Results of the 2019 MOPAN external partner survey

The online survey was administered by MOPAN and was conducted over a period of eight weeks, starting on 19 July and closing on 13 September.

Number of respondents: 162   **Effective sample size:** 497   **Survey response rate:** 33%

Respondent profile:

Organisation respondents work for:

Category	Number of respondents
Government	~36
UN Agency/IFI	~15
INGO or NGO	~13
Private sector / Business association	~14
Academia / Research organisation	~68
Other	~16

Number of respondents
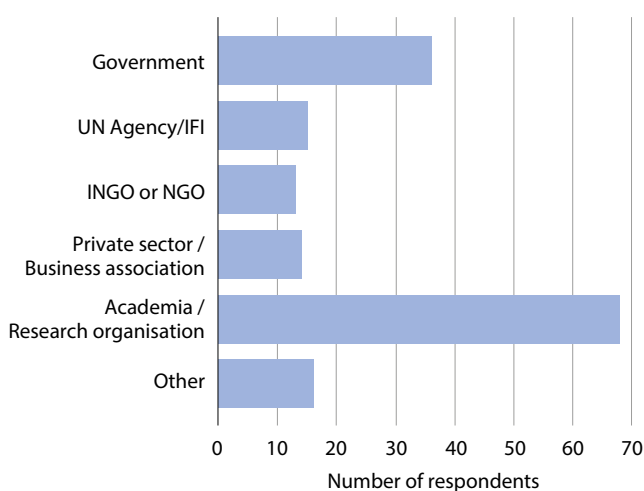
Respondents' primary role vis-à-vis CGIAR system:

Category	Number of respondents
Governing body representative / Board member	~36
Collaborator / governments & international agencies	~53
Research collaborators	~72

Number of respondents
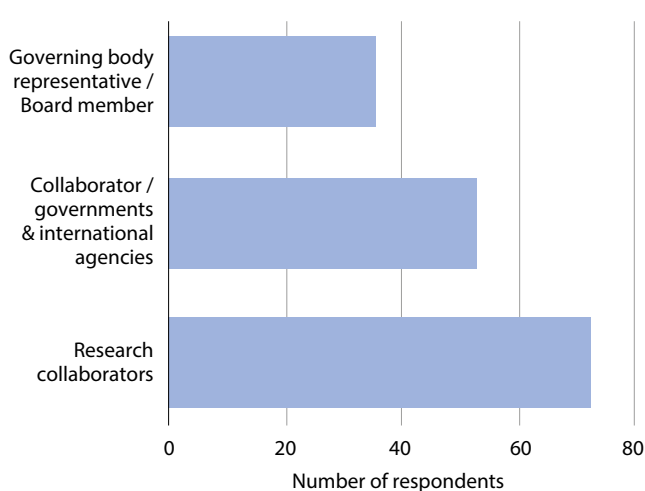
The entity within CGIAR respondents primarily interact with:

- 75% Research Center
- 15% CGIAR governing bodies
- 11% System Management Office
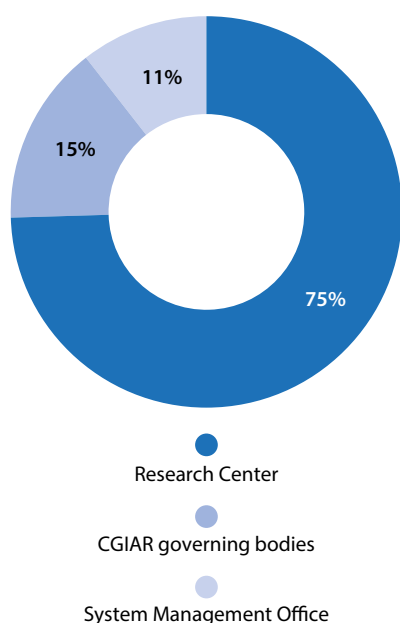
Among those who primarily interact with Research Centers, respondents were most familiar with:

Center	Number of respondents
WorldFish	~16
IWMI	~16
IRRI	~29
ILRI	~29
IITA	~34
IFPRI	~38
ICRISAT	~31
ICRAF	~19
ICARDA	~15
CIP	~36
CIMMYT	~42
CIFOR	~14
CIAT	~38
Bioversity	~33
AfricaRice	~17

Number of respondents
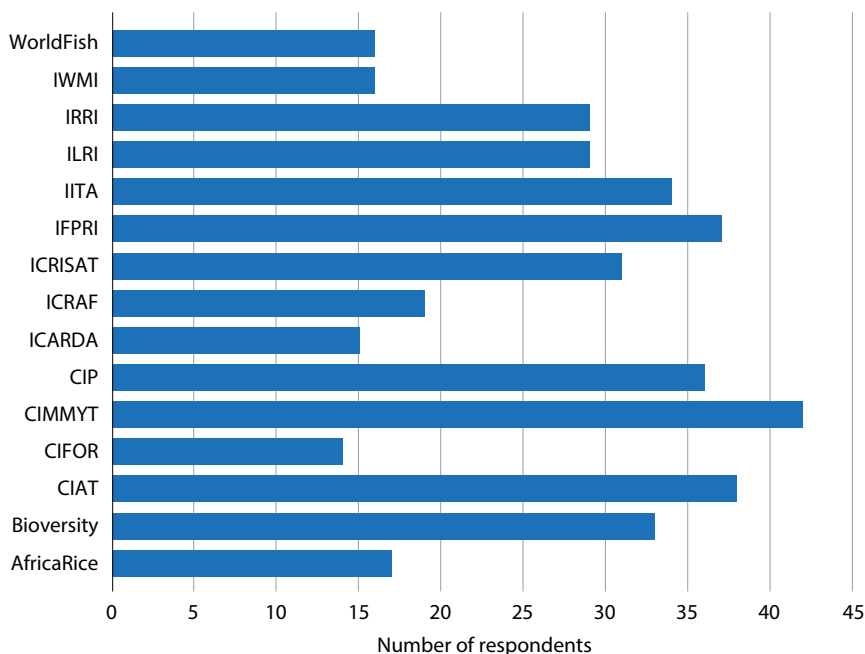
STRATEGIC MANAGEMENT

CGIAR System strategies and policies demonstrate clarity of vision and good understanding of comparative advantage
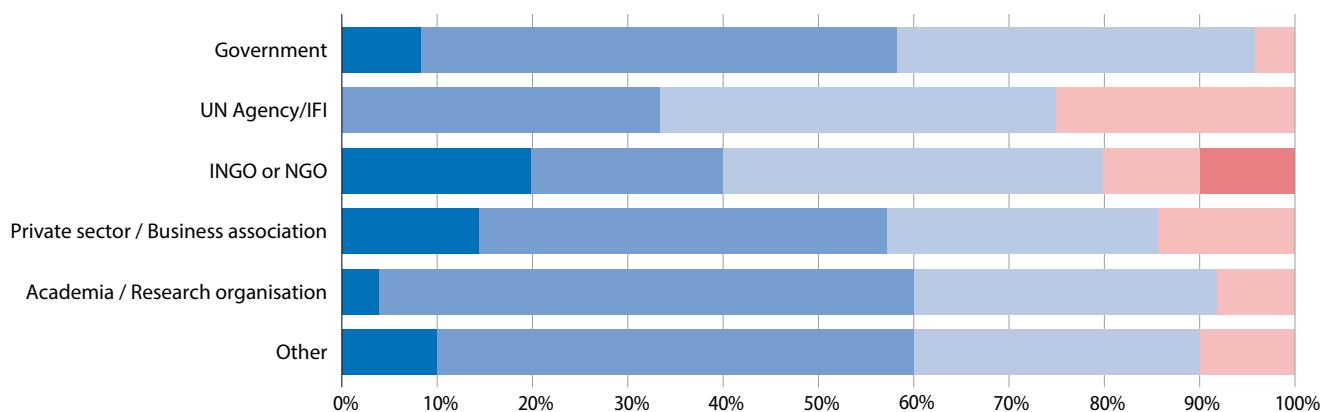
CGIAR System defines and adapts its organisational architecture in a way that allows full support to its vision
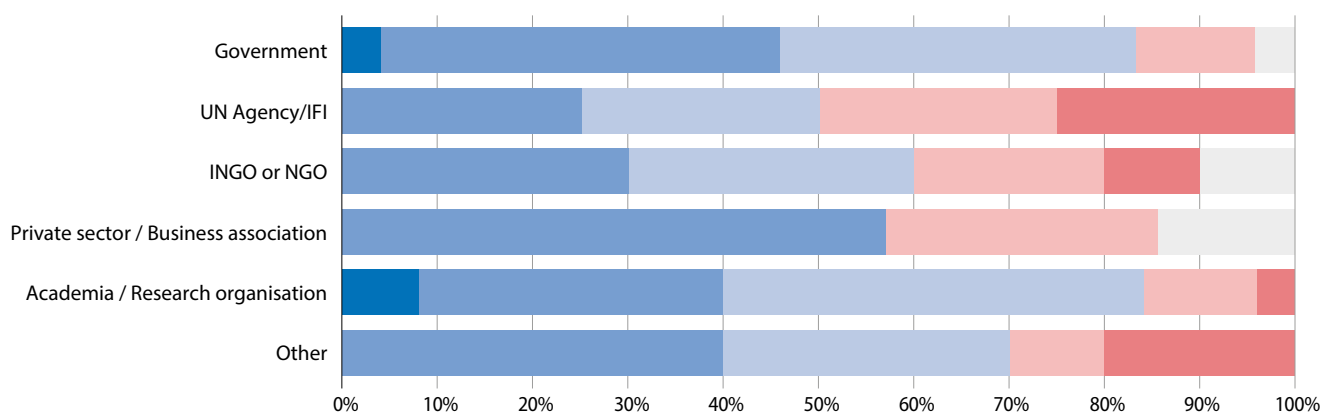
CGIAR System's financial framework supports the effective implementation of the mandate and strategy
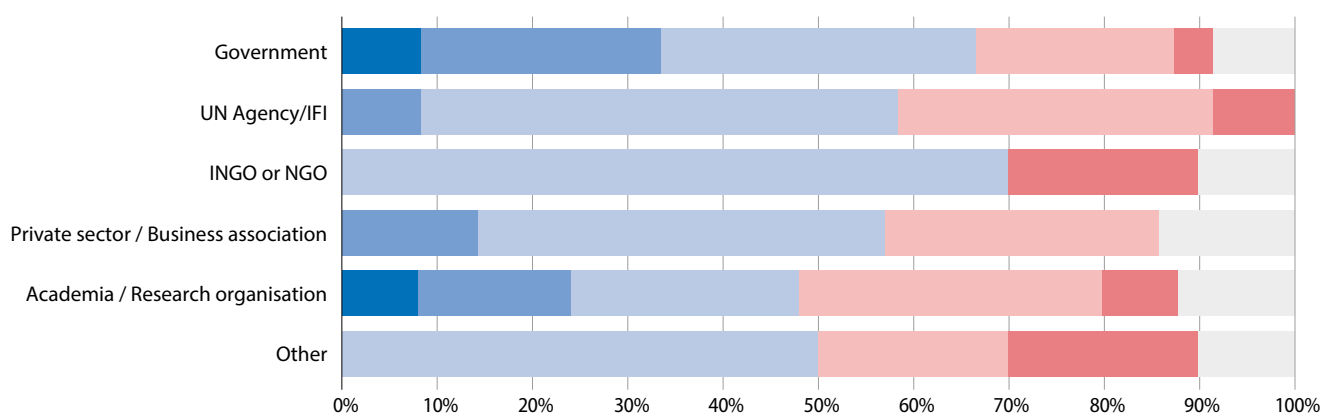
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

CGIAR System's strategic allocation of resources is transparent and coherent with agreed strategic priorities
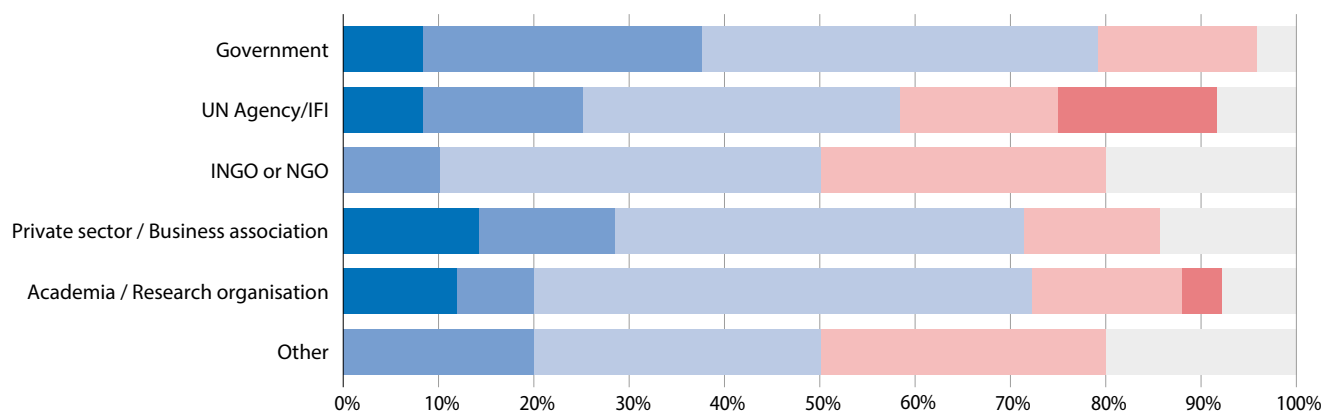
CGIAR System transparently applies principles of results-based budgeting and reports expenditures according to results
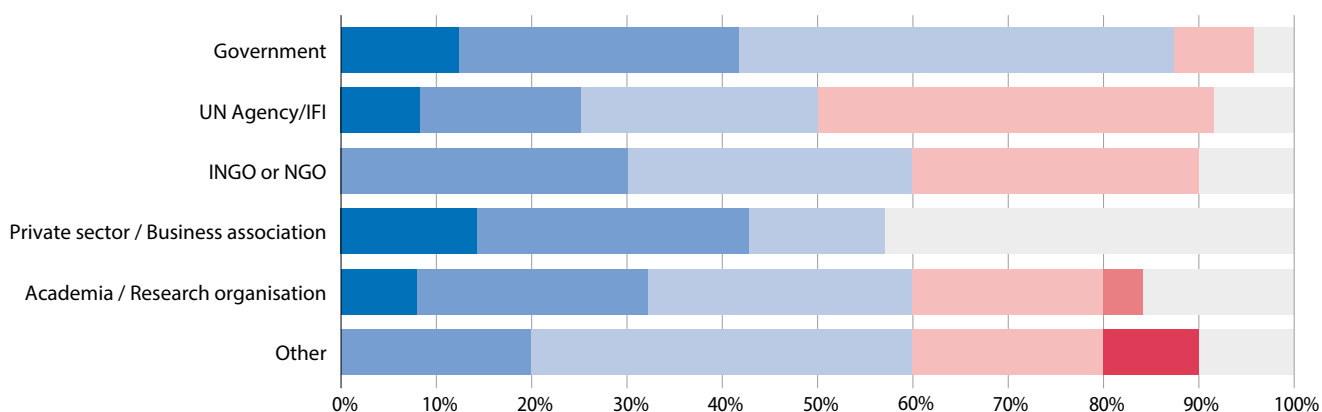
CGIAR System adequately addresses issues and concerns raised by internal control mechanisms
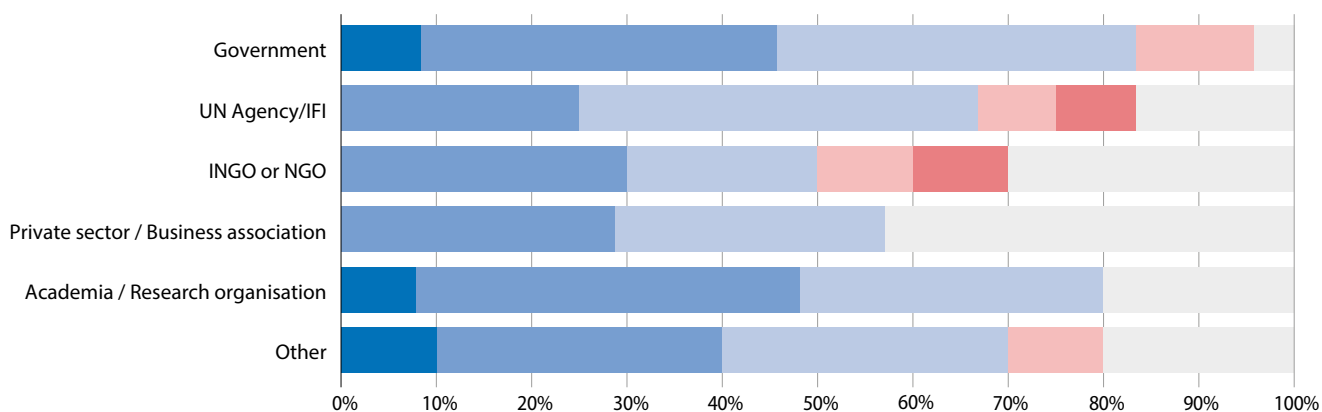
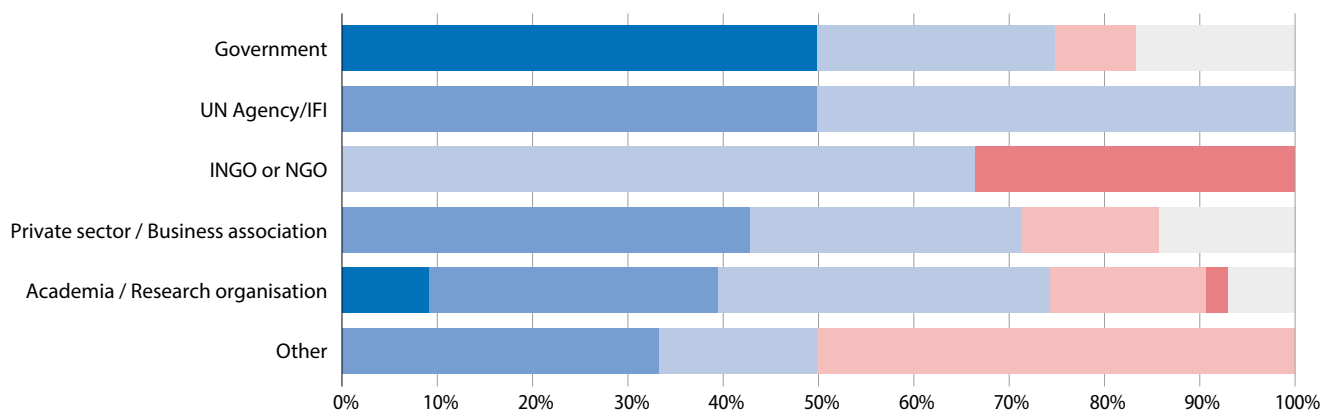Legend: Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

STAFFING

CGIAR System has sufficient staffing to deliver results
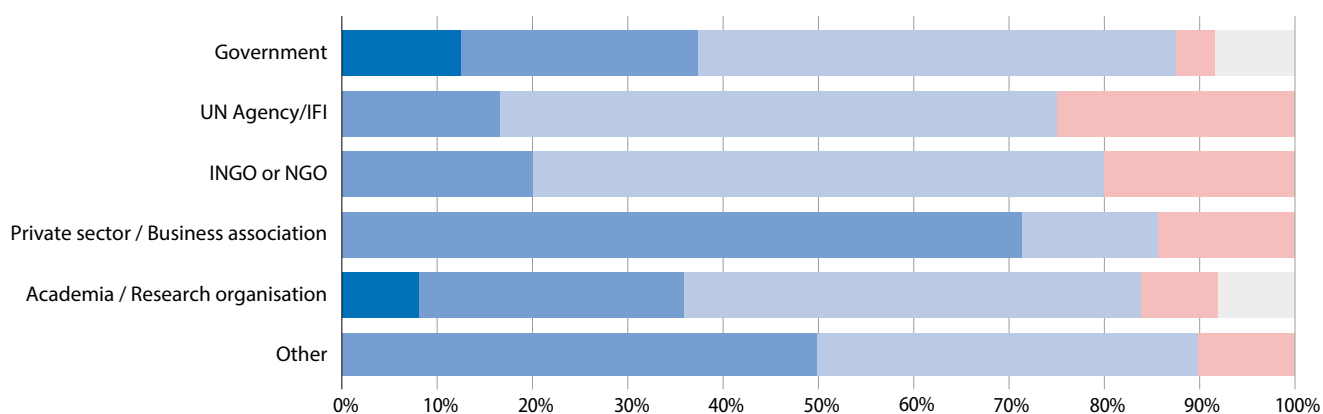
CGIAR System has sufficiently skilled and experienced staff
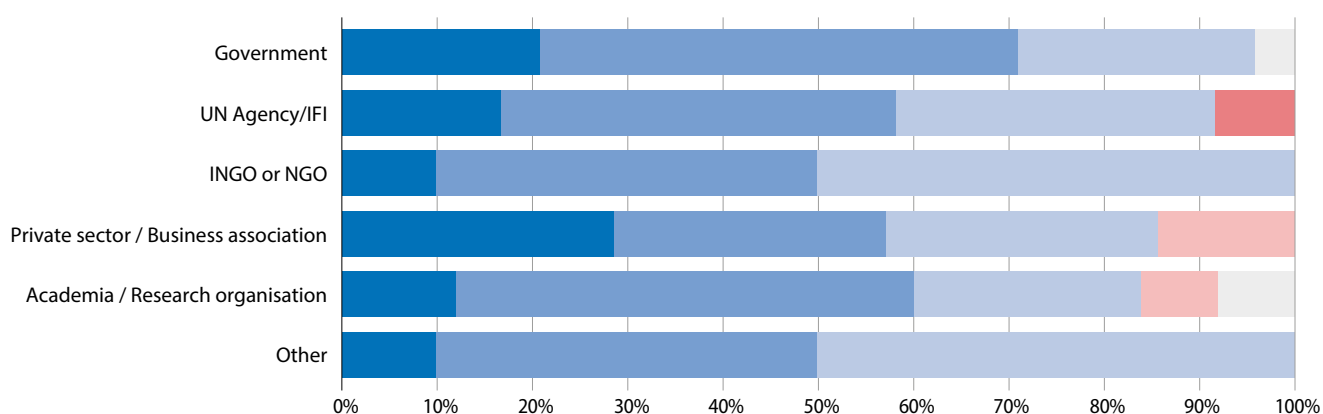
CGIAR System has sufficient continuity of staff to build relationships
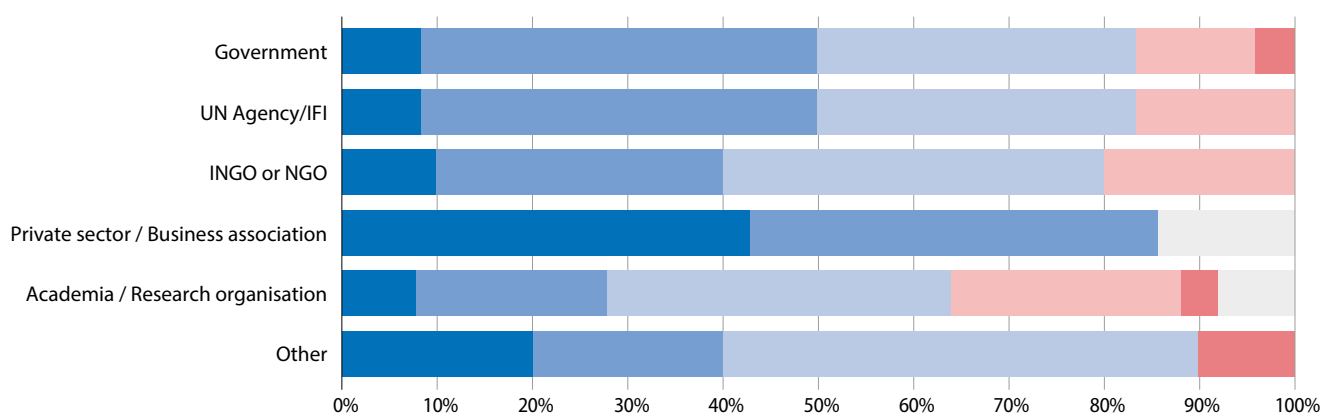
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

CGIAR System's staff can make critical strategic and programming decisions locally
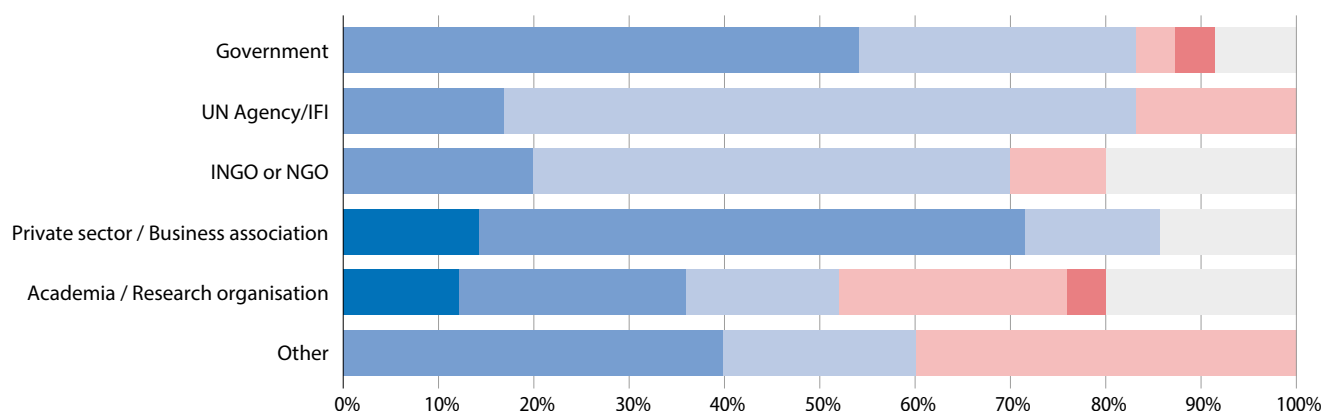
MANAGING FINANCIAL RESOURCES

CGIAR System provides transparent criteria for financial resource allocation
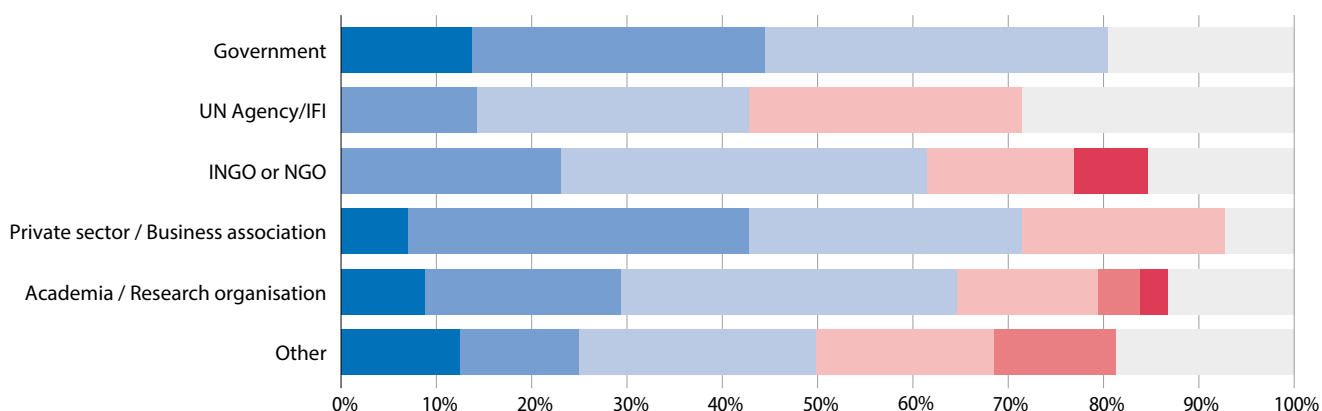
CGIAR System provides predictable financial allocations, disbursements and payments
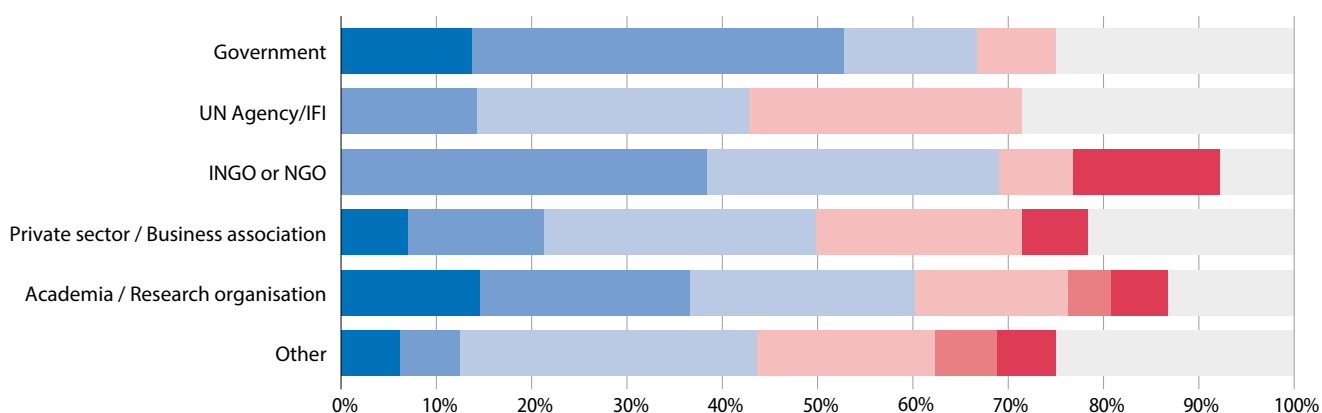
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

CGIAR System has flexible resources
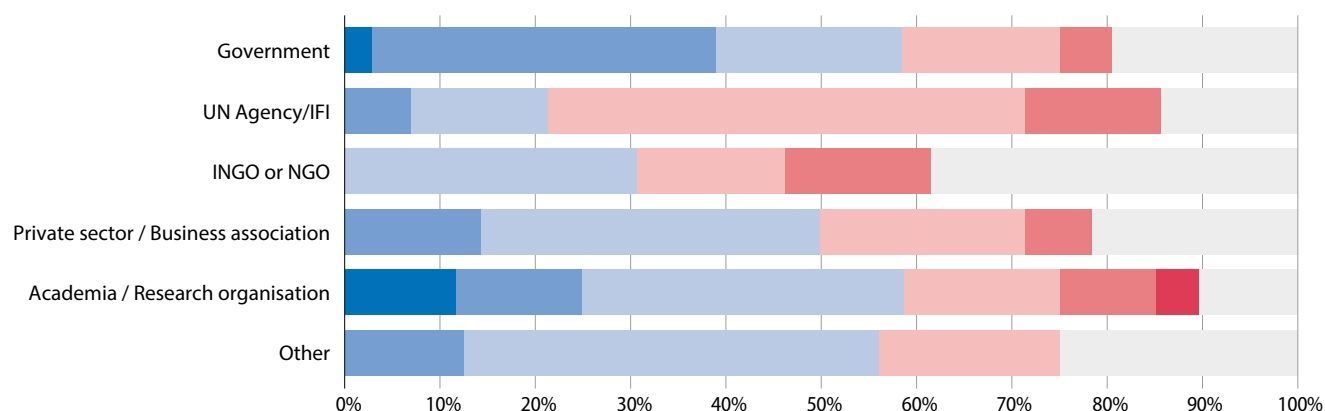
INTERVENTIONS (programmes, projects, normative work)

CGIAR System interventions fit national programmes and results of partner countries
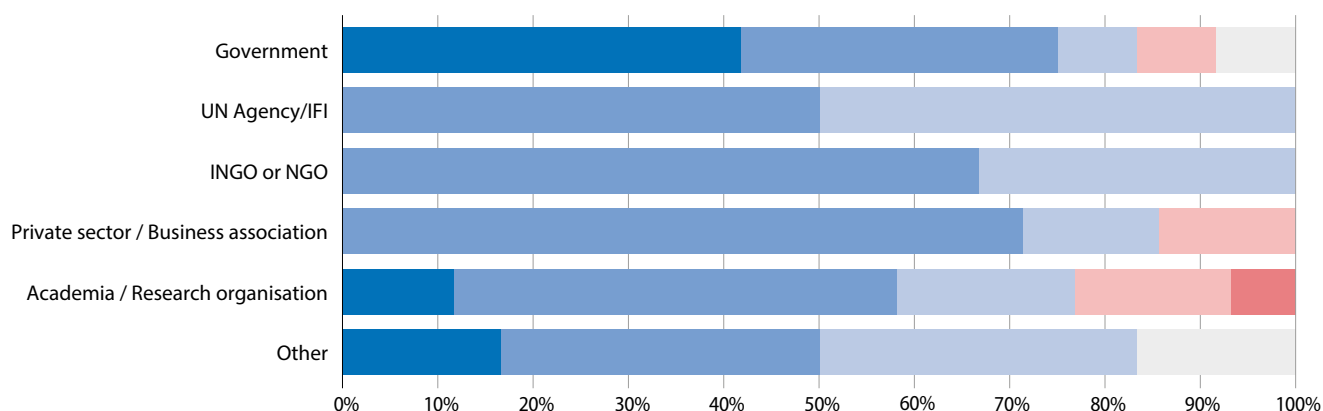
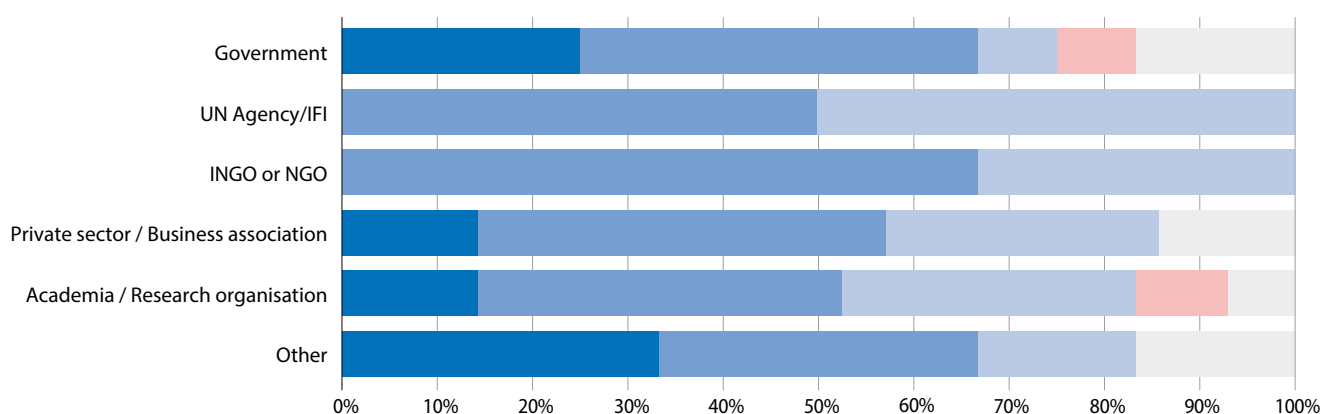### CGIAR System interventions are tailored to the needs of the local context
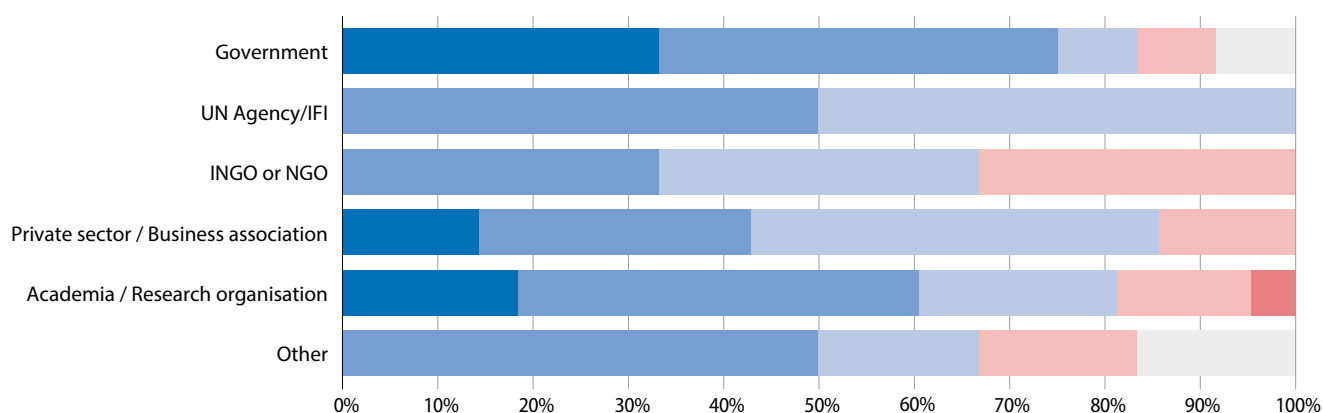
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

CGIAR System has a clear understanding of its comparative advantage
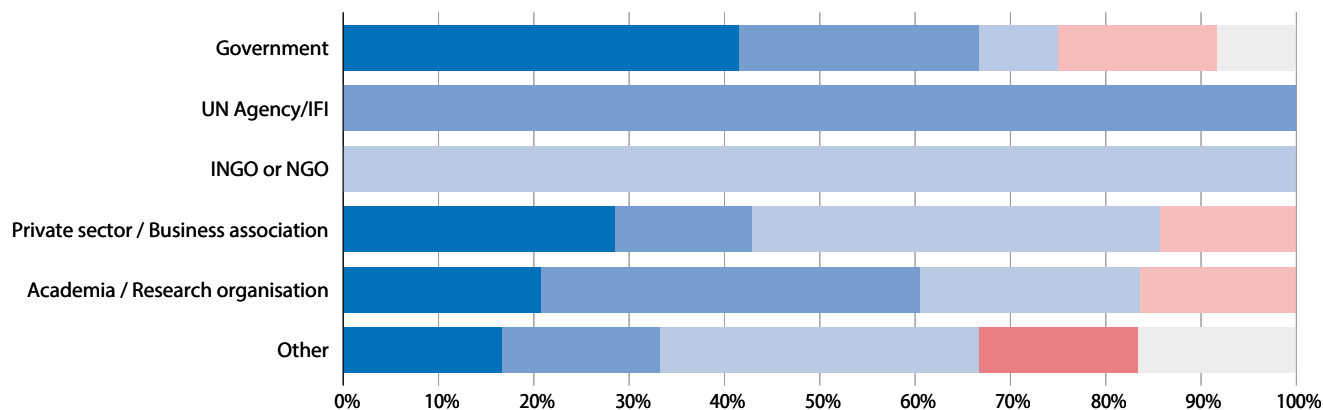
CGIAR System is realistic in its assessment of national/regional capacities
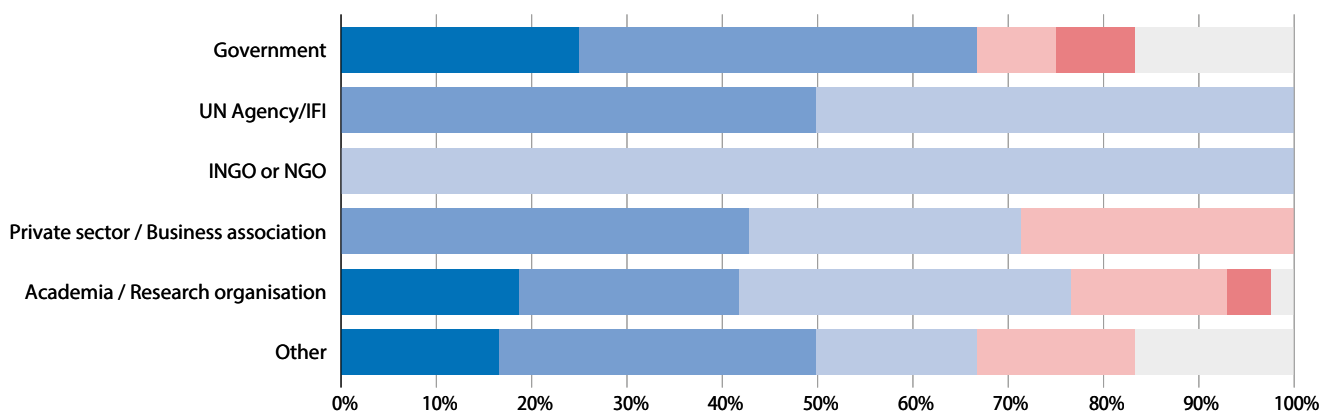
CGIAR System appropriately manages risk in a given context
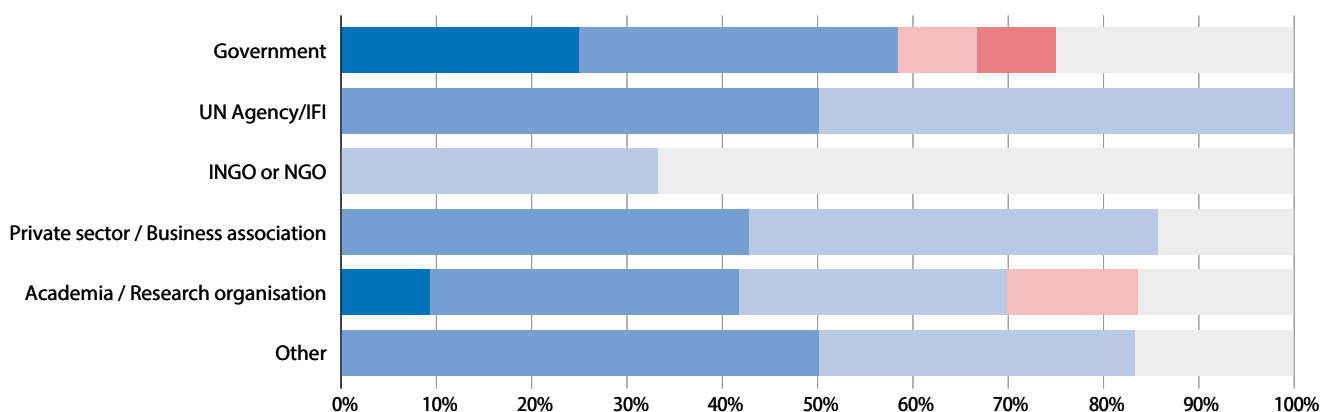
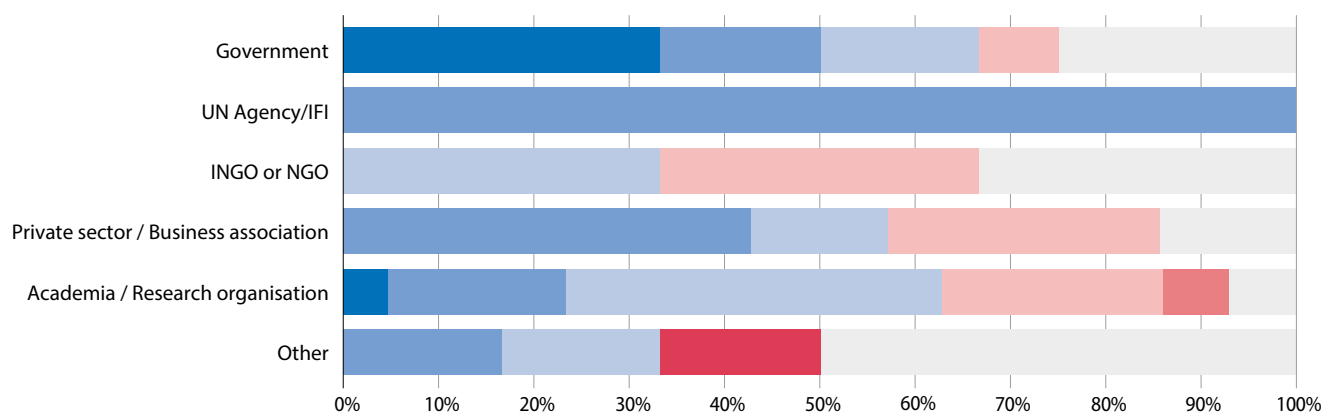Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

CGIAR System interventions are implemented to sustain impact over time

Legend: Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion
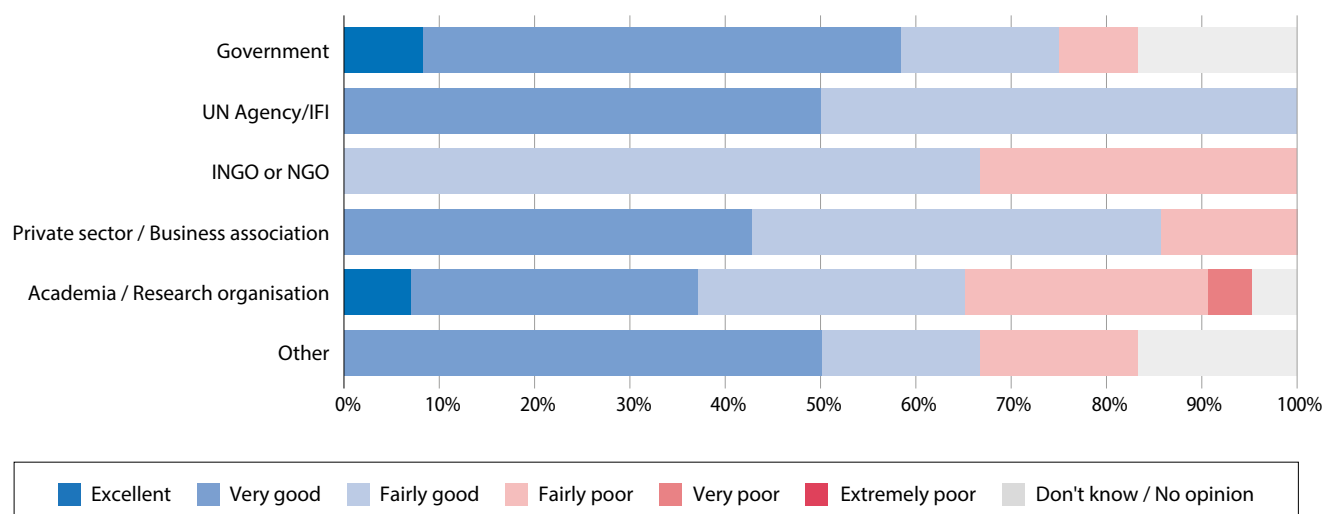
INTERVENTIONS (cross-cutting issues and familiarity)

Familiarity with the gender strategy of CGIAR System
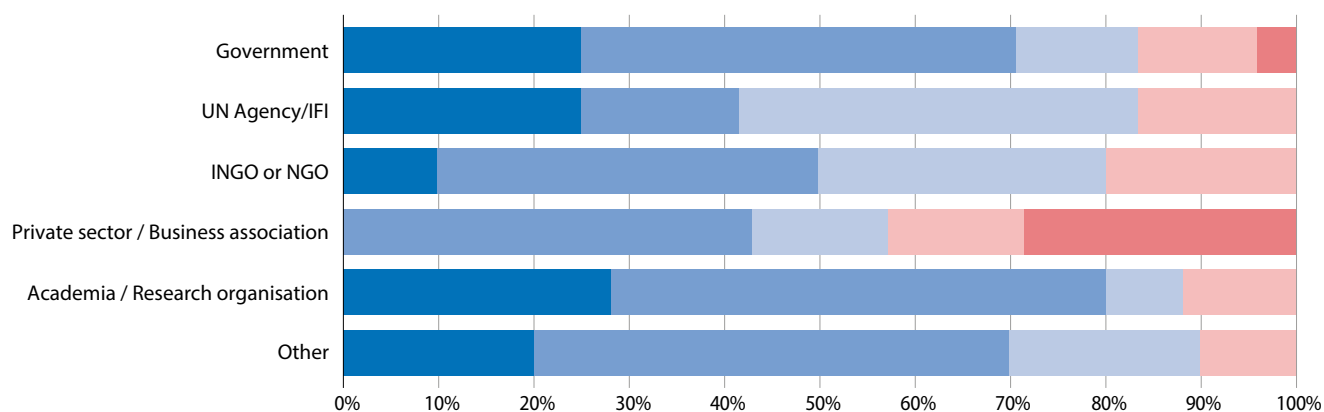
Familiarity with the environmental sustainability strategy of CGIAR System, including addressing climate change

Legend: Know it very well · Know a fair amount about it · Know just a little about it · Heard of but know almost nothing about it · Never heard of it
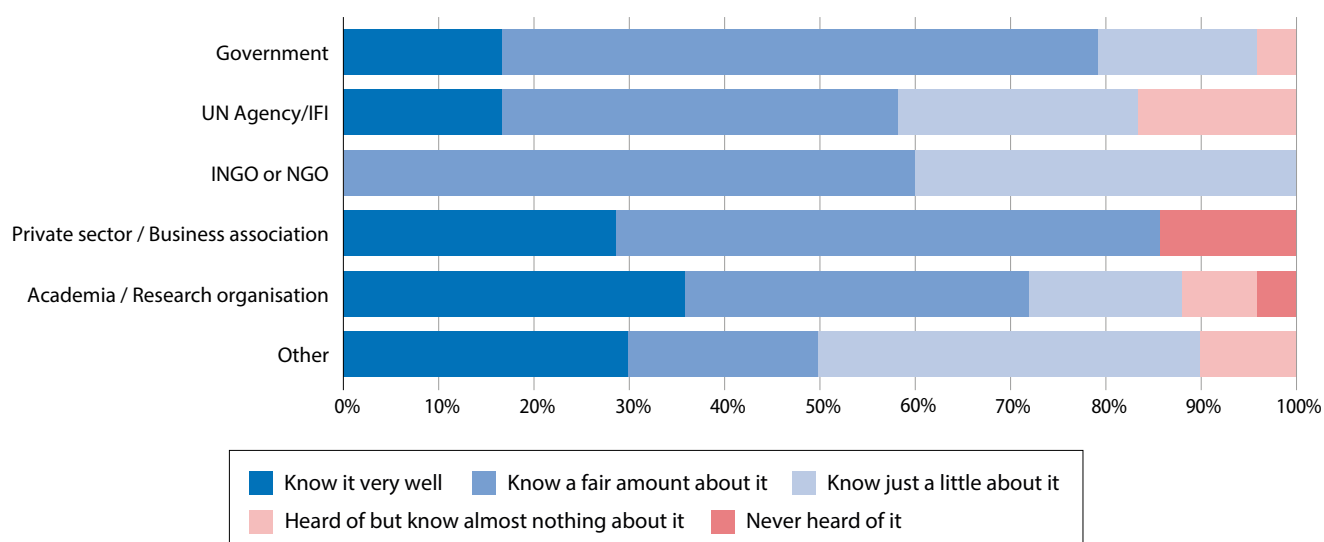
Familiarity with the strategy of CGIAR System setting out how it intends to engage with promoting good governance
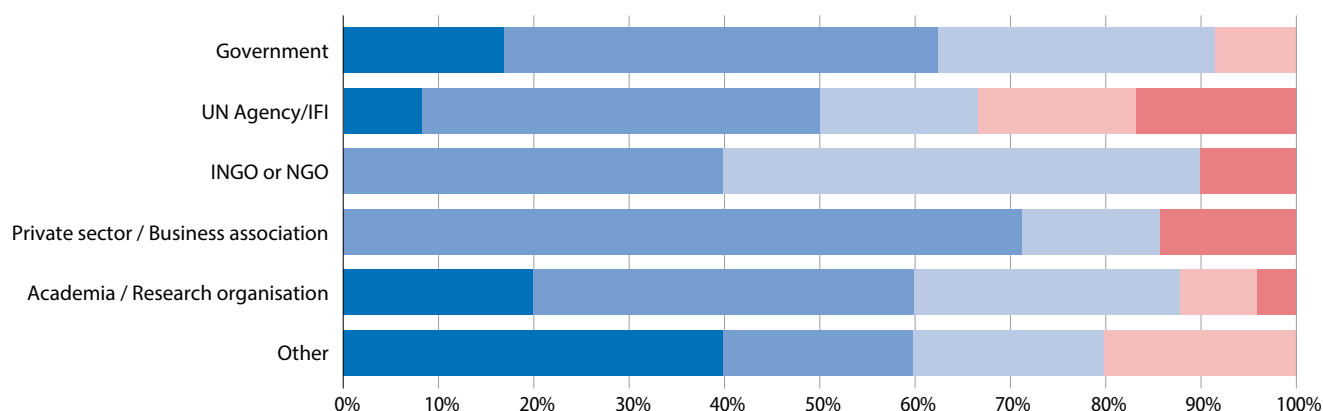
The strategy of CGIAR System setting out how it intends to take forward its policy commitment (if any) on farmers' rights

■ Know it very well	■ Know a fair amount about it	■ Know just a little about it
■ Heard of but know almost nothing about it	■ Never heard of it
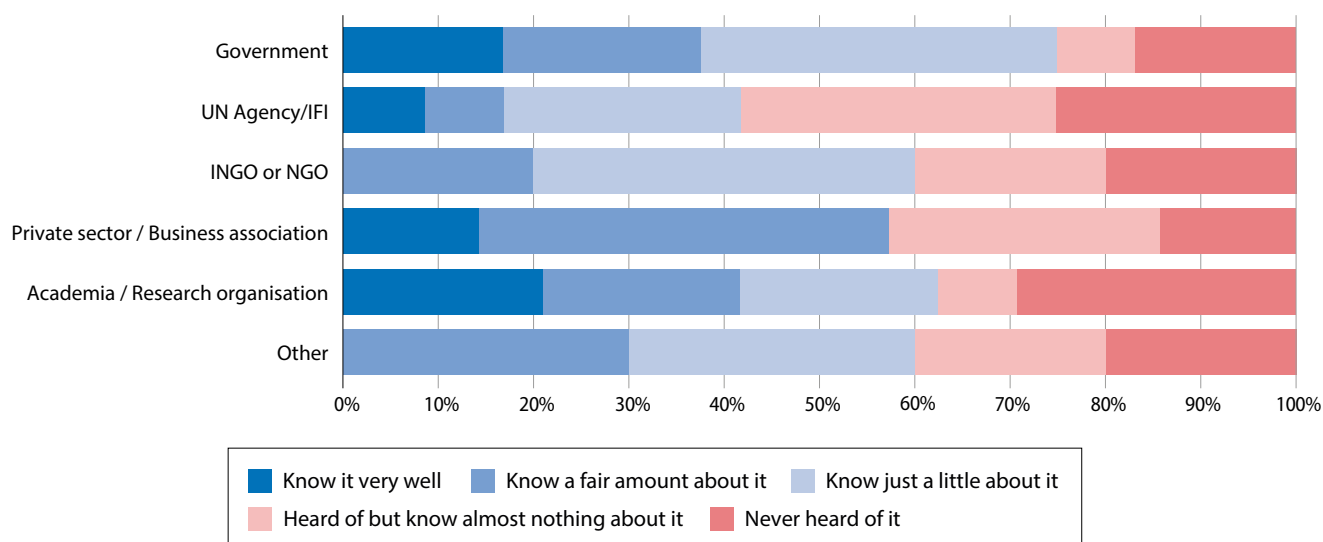
INTERVENTIONS (cross-cutting issues and organisational performance)

CGIAR System promotes gender equality

■ Excellent	■ Very good	■ Fairly good	■ Fairly poor	■ Very poor	■ Extremely poor	■ Don't know / No opinion
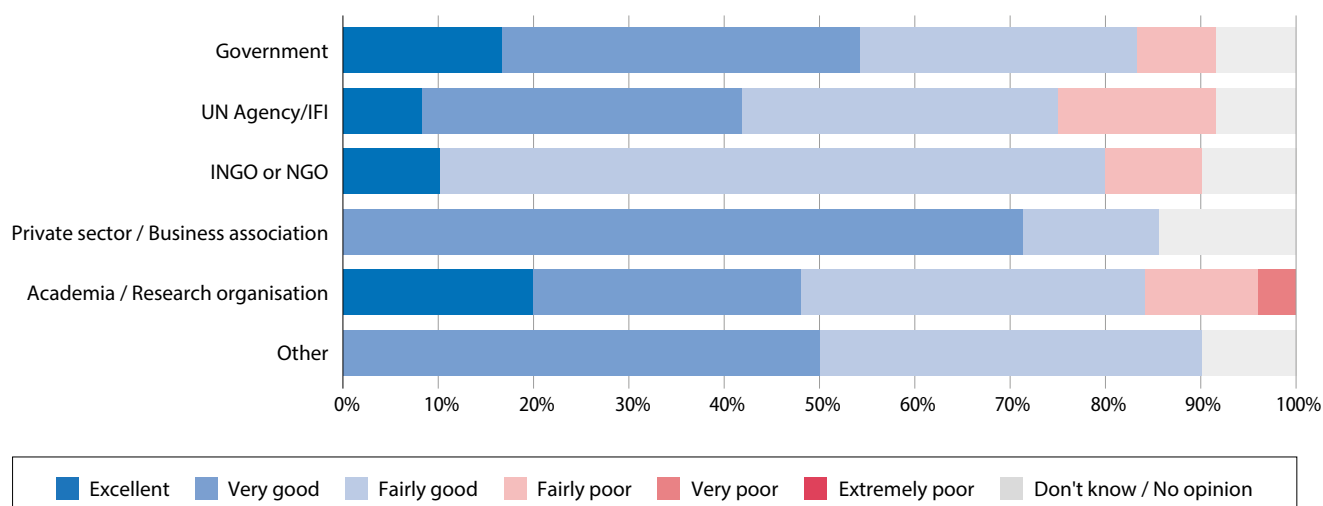
CGIAR System promotes environmental sustainability and addresses climate change
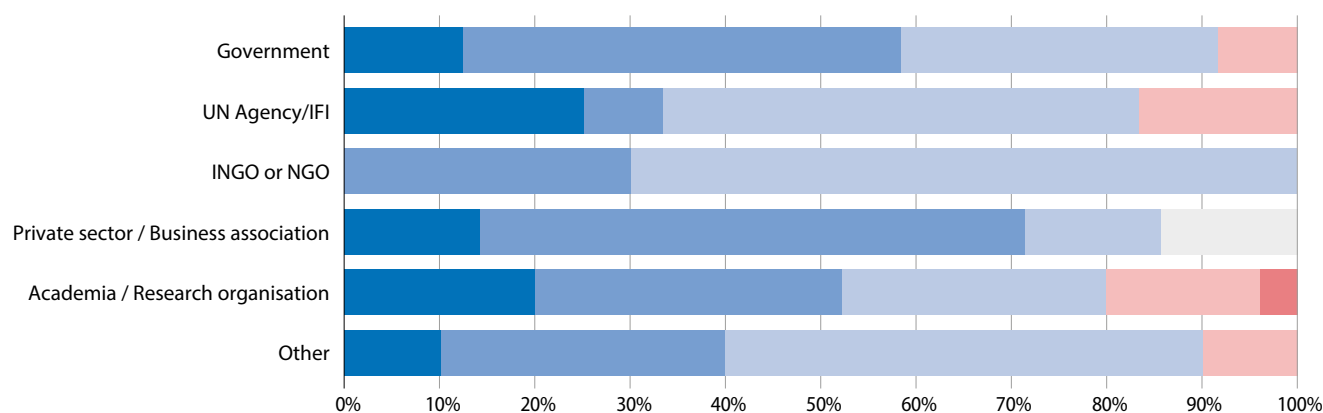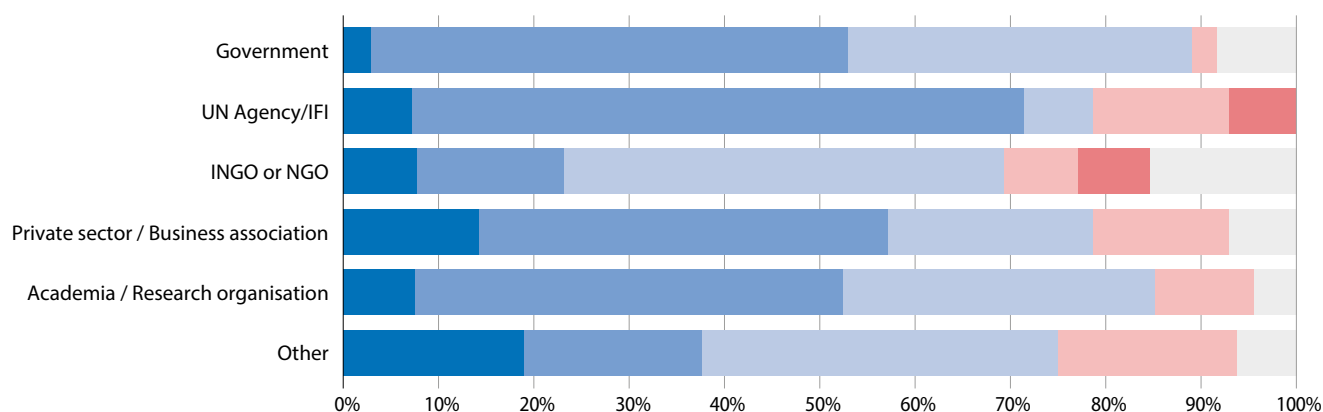

CGIAR System promotes principles of good governance
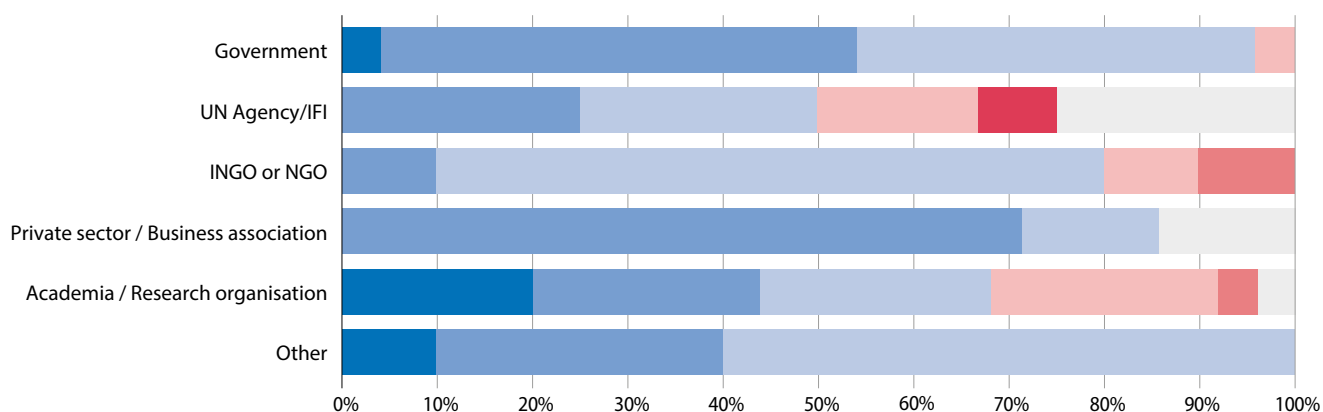
CGIAR System promotes farmers' rights
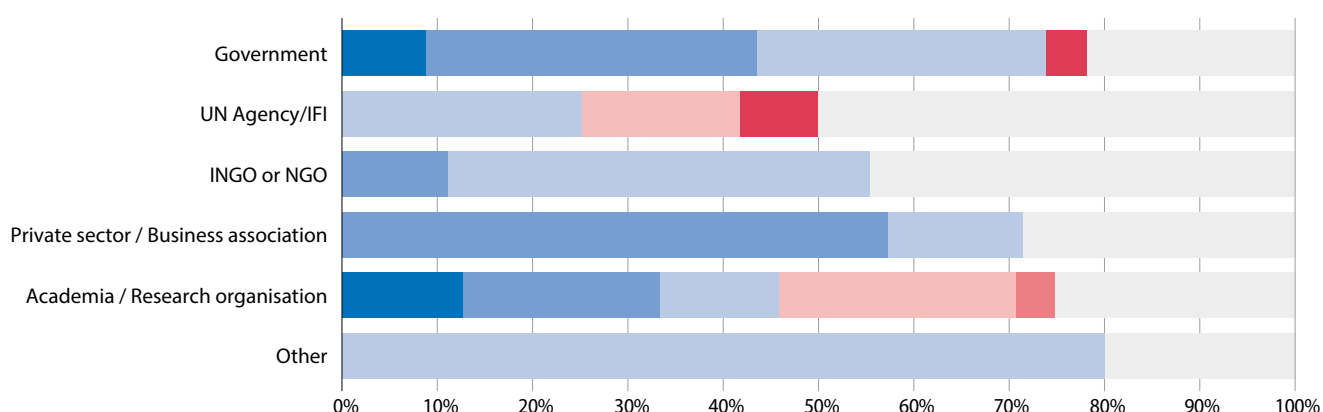
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

MANAGING RELATIONSHIPS

CGIAR System prioritises working in synergy and partnerships
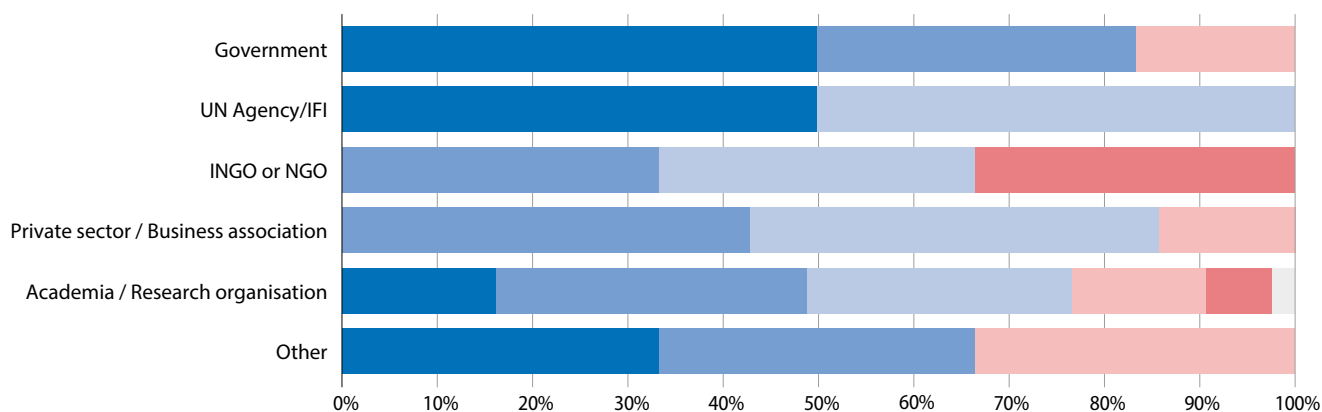
CGIAR System shares key information with partners on an ongoing basis

CGIAR System uses regular review points with partners to identify challenges
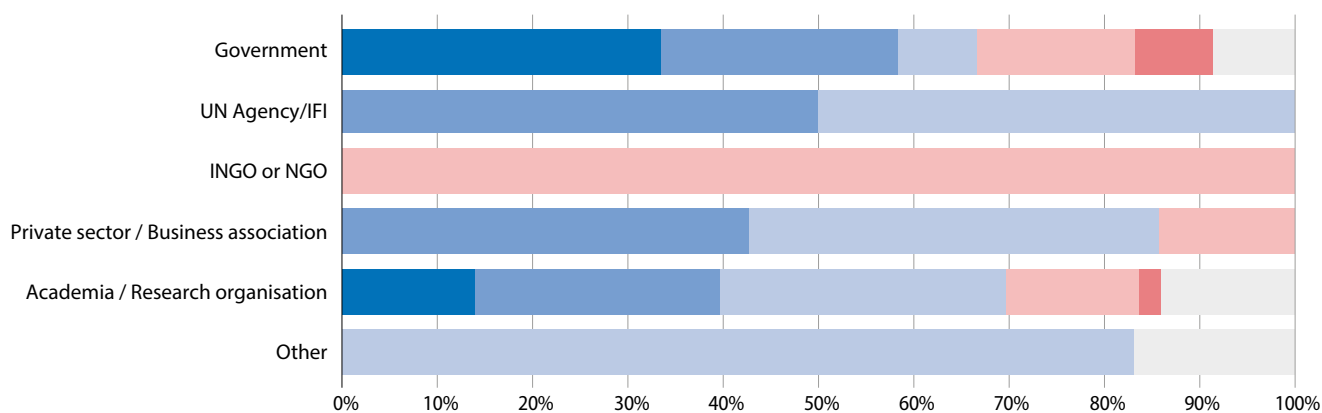
Legend: Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

CGIAR System organisational procedures are synergised with partners
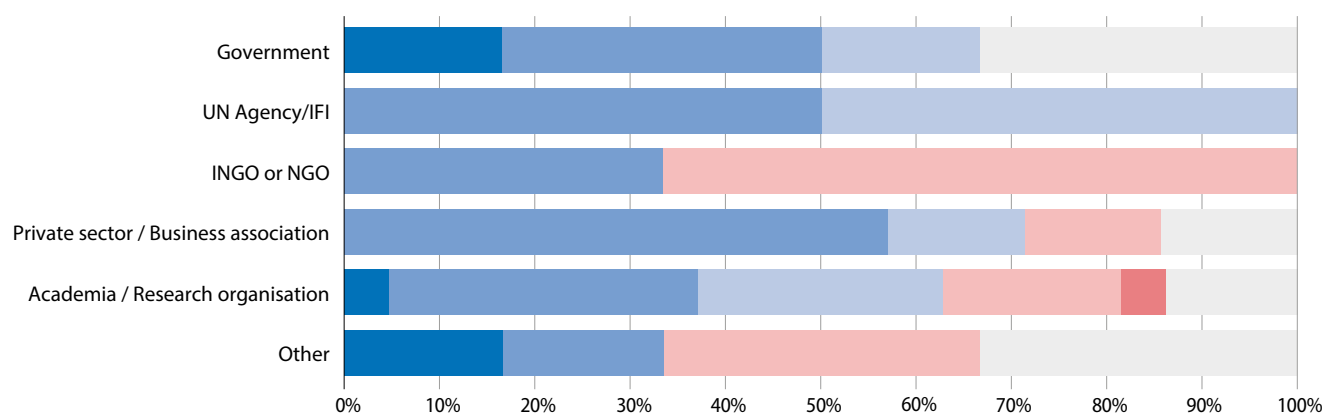
CGIAR System provides high quality inputs to country or regional dialogue

CGIAR System's views are well respected in country or regional policy dialogue
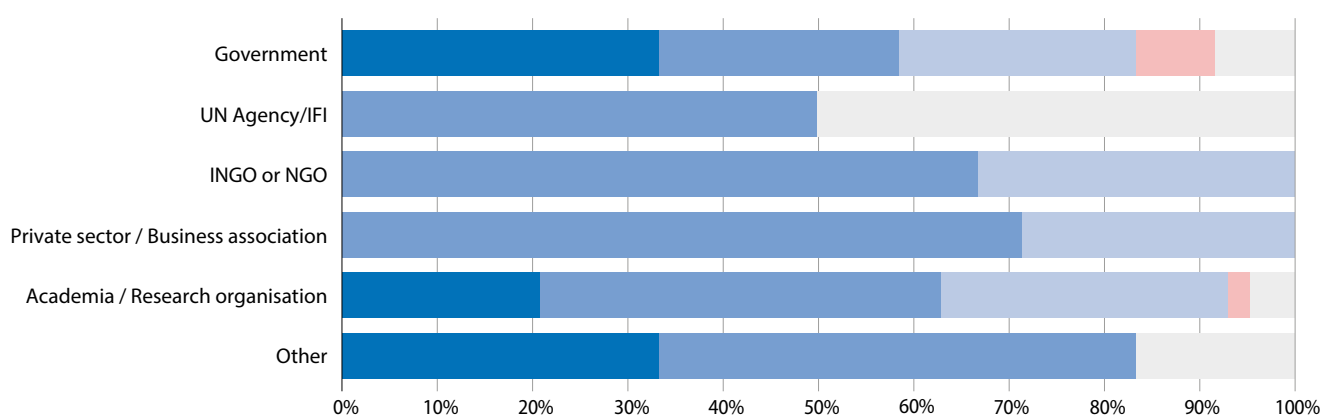
Excellent — Very good — Fairly good — Fairly poor — Very poor — Extremely poor — Don't know / No opinion

CGIAR System conducts mutual assessments of progress with national and regional partners
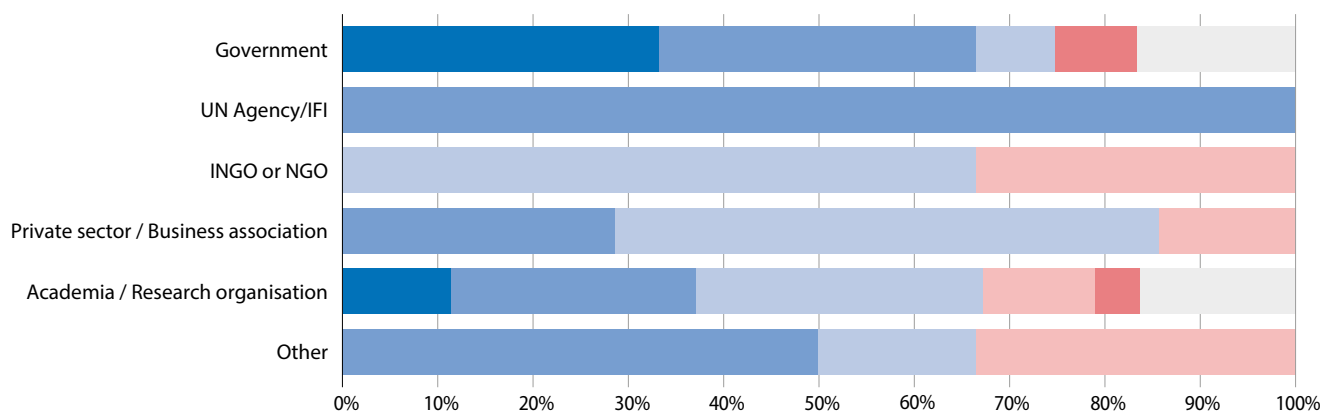
CGIAR System's organisational procedures do not cause delays for implementing partners

CGIAR System's knowledge products are useful for my work
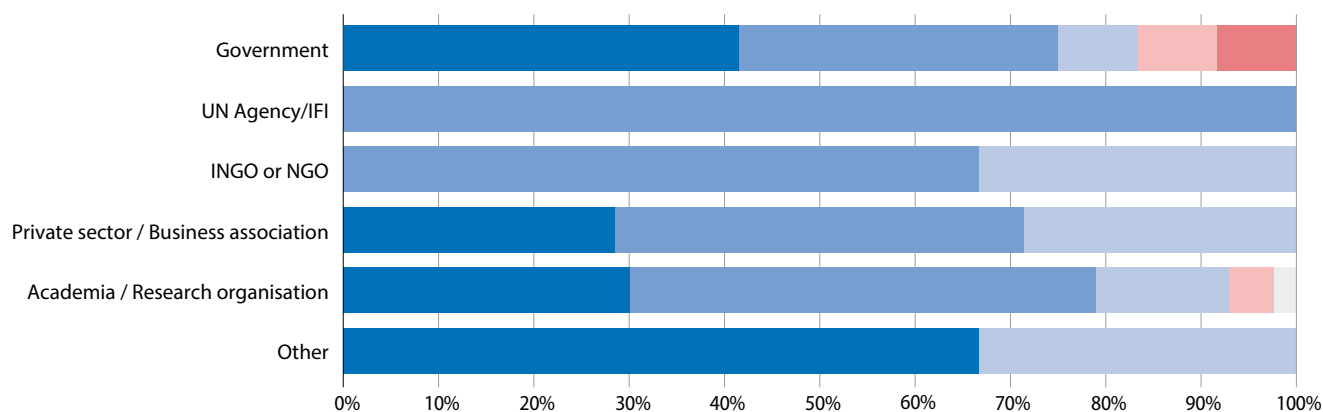
Excellent Very good Fairly good Fairly poor Very poor Extremely poor Don't know / No opinion

PERFORMANCE MANAGEMENT

CGIAR System prioritises a results-based approach
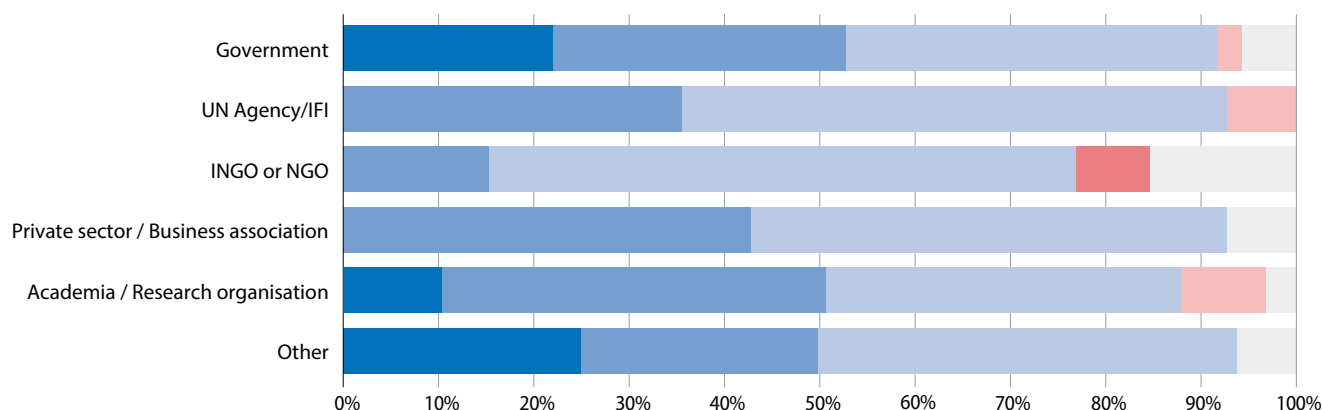
CGIAR System uses robust performance data when designing and implementing interventions

CGIAR System bases its policy and strategy decisions on robust performance data
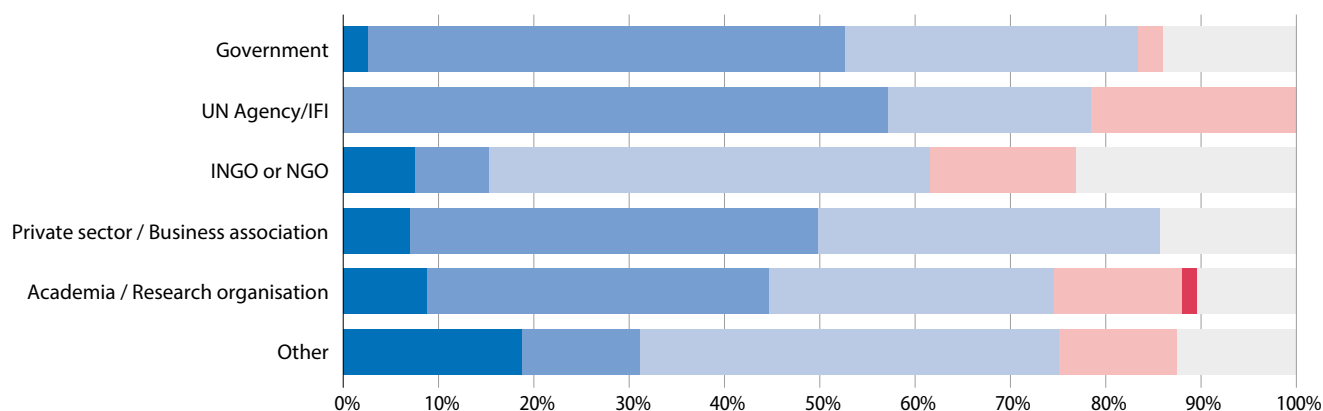
Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion

EVIDENCE BASE FOR PLANNING AND PROGRAMMING

CGIAR System has a clear statement on which of its interventions must be evaluated
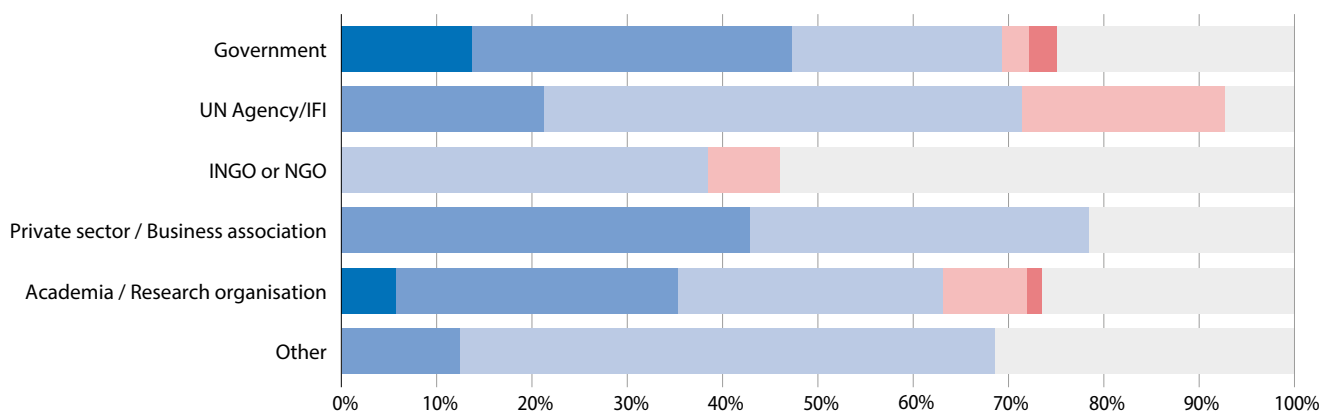
Where required, CGIAR System ensures that evaluations are carried out
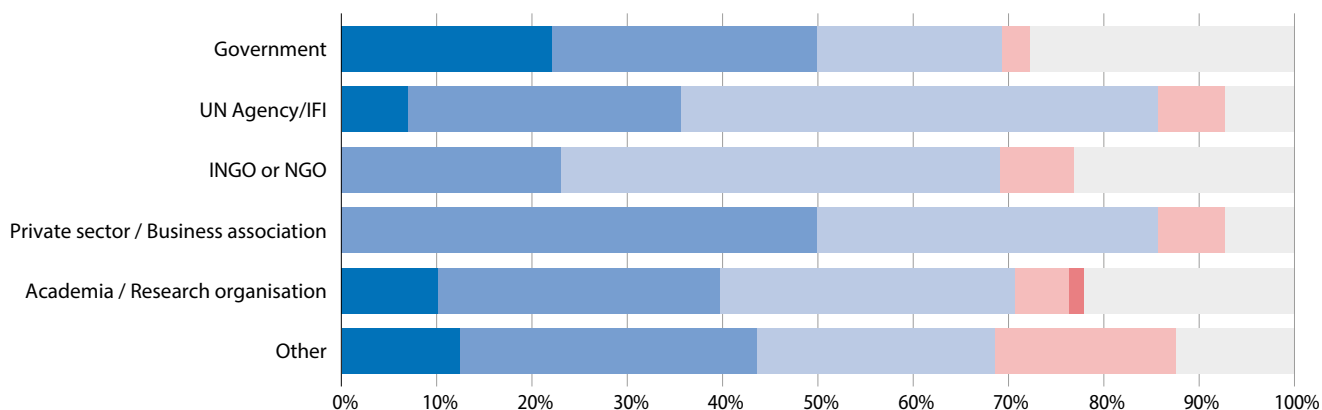
CGIAR System participates in joint evaluations at the country and regional level
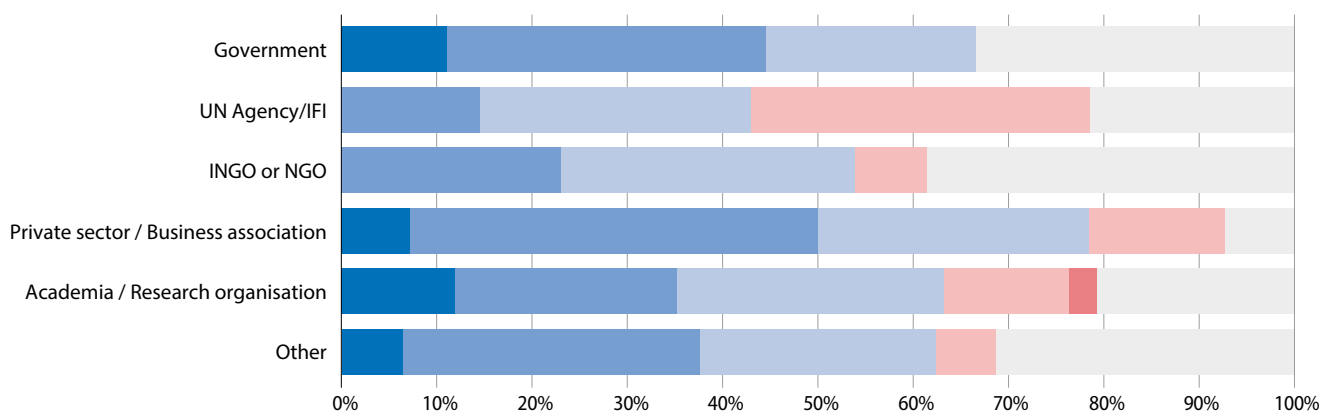
Legend: Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion
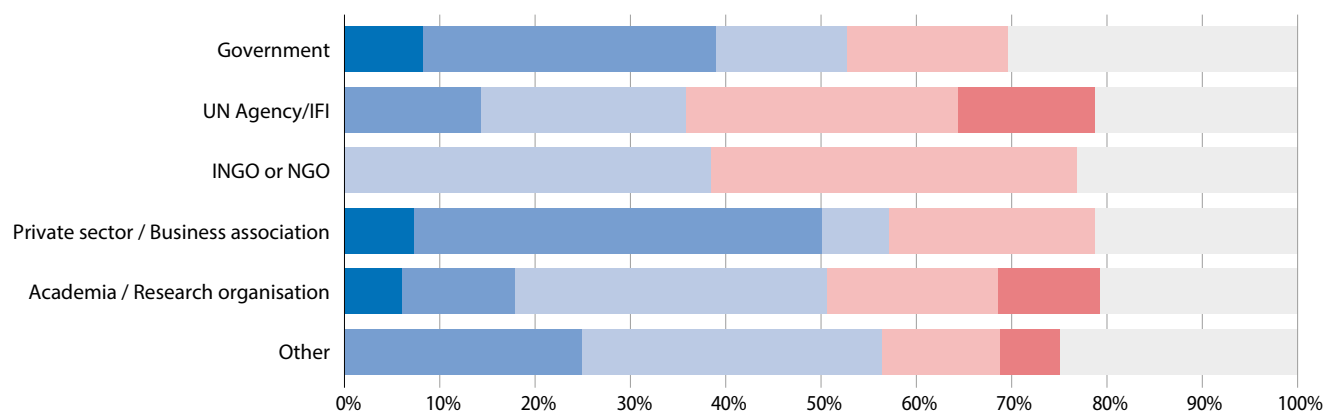
CGIAR System intervention designs contain a statement of the evidence base
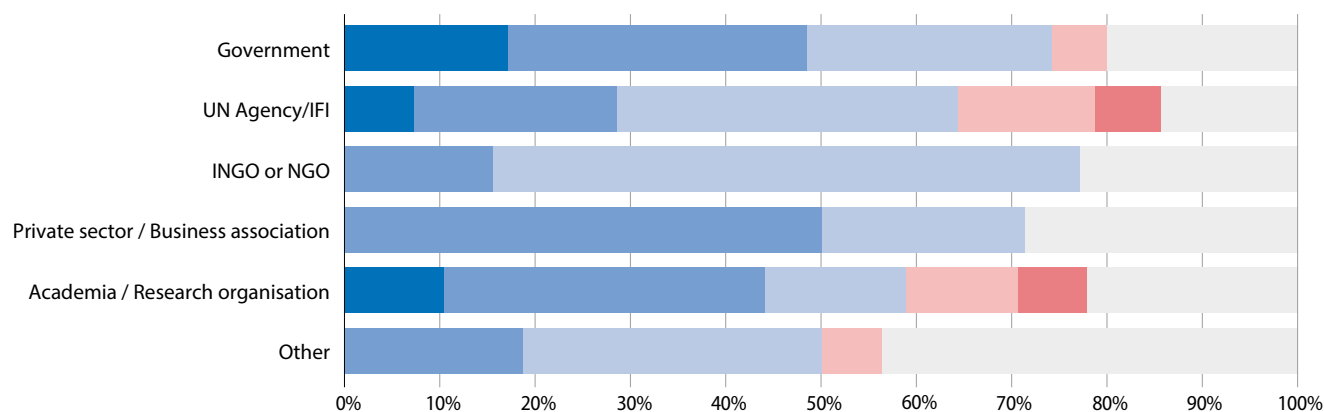
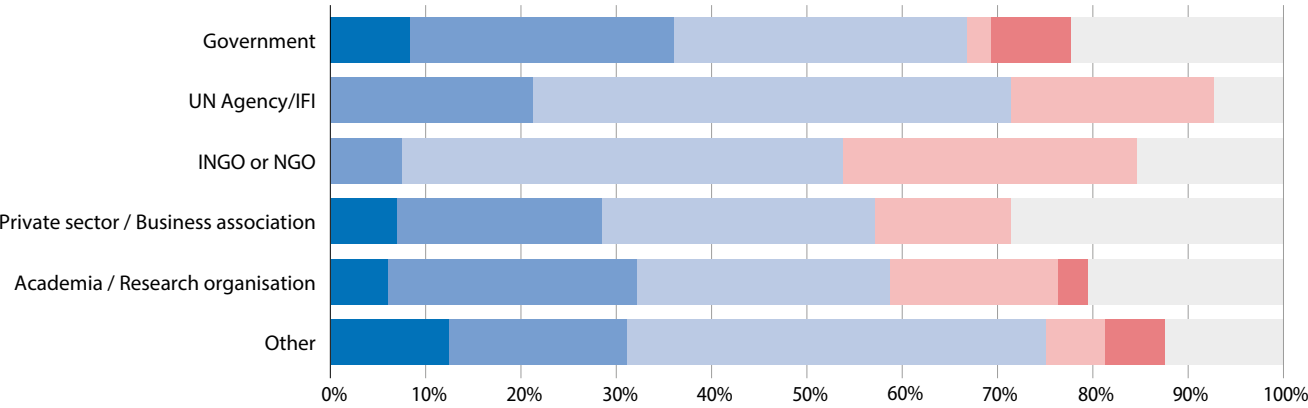

CGIAR System identifies under-performing interventions
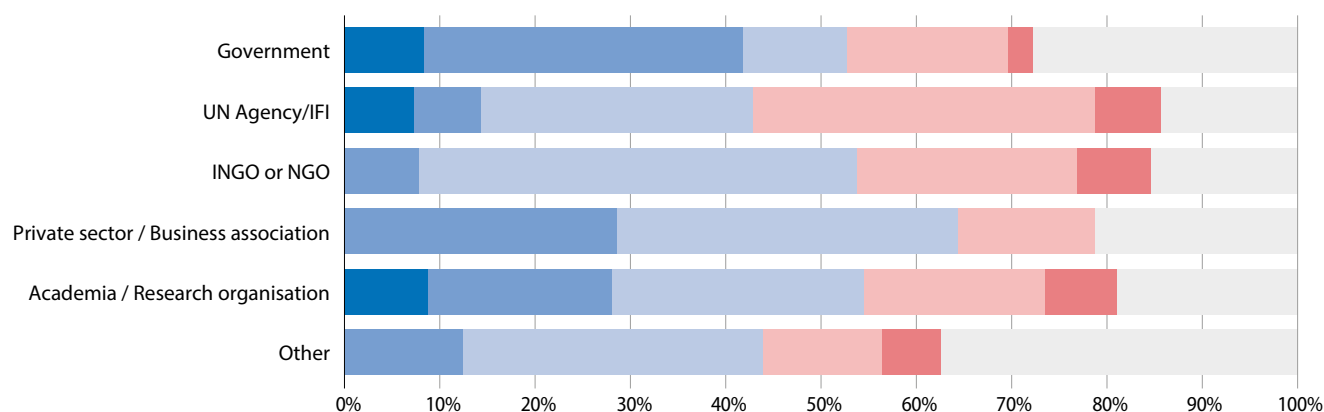
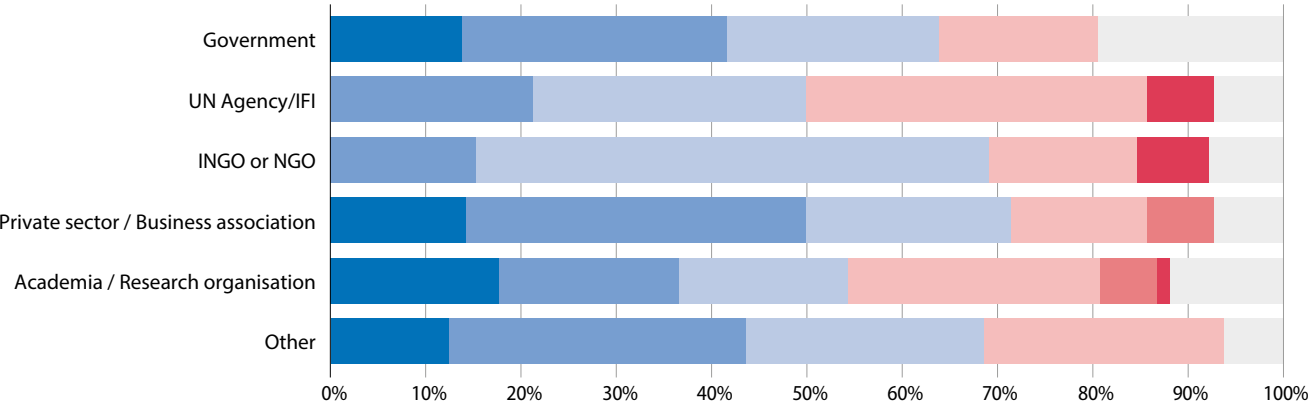## CGIAR System addresses any areas of intervention under-performance

Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

CGIAR System follows up evaluation recommendations systematically

CGIAR System learns lessons from experience rather than repeating the same mistakes

Excellent   Very good   Fairly good   Fairly poor   Very poor   Extremely poor   Don't know / No opinion